THE IMPLEMENTATION OF THE EUROPEAN FOUNDATION FOR QUALITY MANAGEMENT'S (EFQM) EXCELLENCE MODEL IN ACADEMIC UNITS OF UNITED KINGDOM UNIVERSITIES

John DAVIES

Management Research Institute
School of Management
University of Salford, Salford, UK

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List of Abbreviations

BEM	Business Excellence Model
BQF	British Quality Foundation
CMPS	Centre for Management and Policy Studies
EFQM	European Foundation for Quality Management
FE	Further Education
GMP	Good Management Practice
HE	Higher Education
HEFCE	Higher Education Funding Council for England
HEI	Higher Education Institution
HRM	Human Resource Management
IM	Institute of Management
PWC	PriceWaterhouseCoopers
QAA	Quality Assurance Agency
RADAR	Results Approaches Deployment Assessment and Review
RAE	Research Assessment Exercise
SMC	Senior Management Commitment
SMT	Senior Management Team
SPC	Statistical Process Control
TQM	Total Quality Management
TSE	Towards Service Excellence
UMIST	University of Manchester Institute of Science and Technology
VC	Vice Chancellor

ABSTRACT

The aim of this research was to examine how the EFQM Excellence Model implementation process had been conducted in a number of cases in UK University academic units with a view to developing a guidance framework for implementation of the EFQM Excellence Model in this particular context.

Issues which could impact on the implementation of the European Foundation for Quality Management's (EFQM) Excellence Model in the UK University academic environment were identified through a comprehensive literature review of the model's implementation in other sectors, literature on the UK University sector and on established good practice in implementing similar quality programmes, such as Total Quality Management (TQM).

A theoretical framework was developed in order to conceptualise the relationships between the issues identified through the literature review and to form a basis for the development of data collection and analysis tools. The case study strategy was chosen as the appropriate way to investigate the phenomenon.

The approaches used in the implementation of the EFQM Excellence Model in four United Kingdom University academic units were explored and analysed in order to discover the critical issues for effective implementation.

The fieldwork revealed a number of issues which were essential to effective implementation (motive, gaining senior management commitment, demonstrating senior management commitment, education and training, staff involvement and teamwork, the overall pace of the implementation, integration of the EFQM Model into the organisation, and activities to maintain momentum) and two issues which were desirable in producing effective implementation (culture/context assessment, and project management).

The main output and contribution from the research was a guidance framework for implementing the EFQM Excellence Model in academic units of UK universities.

CHAPTER 1

INTRODUCTION

1.0 Chapter Introduction

In this chapter the background to the research area will be provided, the reasons for researching into this area will be explained, the purpose, aim and objectives of the research will be described, the research questions will be developed, the scope of the research will be identified, the intended contributions of the study will be outlined and the structure of the thesis will be described.

Quality improvement initiatives have grown in use and significance in United Kingdom universities in recent years. Harvey (1999, p.6) states:

"Gone are the days when higher education institutions could take the view that, by dint of their status as institutions of higher learning, they were quality organisations with no need to improve. There is, as has been suggested, growing pressure on institutions to be more responsive to a range of stakeholders and to continually improve to meet changing needs".

Harvey (1999) recommends that institutions should reflect upon their practices and develop what they do. As will be seen later, the EFQM (European Foundation for Quality Management) Excellence Model provides an approach for doing this and thus research into its use is topical.

1.1 Background

The broad problem area to be researched relates to the implementation of the EFQM Excellence Model in United Kingdom Universities.

This area is of interest to the author as he is working in a University that, as part of a consortium of UK Universities, is piloting the use of the EFQM Excellence Model. This is a Higher Education Funding Council for England (HEFCE) developing Good Management Practice (GMP) project. The overall purpose of the GMP programme (and a similar one with another consortium of HE institutions) is to evaluate the benefits of applying the EFQM Excellence Model to Higher Education institutions as a strategic tool for performance management and governance, strategic planning, developing key performance indicators, benchmarking, identifying good management practice and for the achievement of sustainable improvement in all aspects of performance (Consortium for Excellence in Higher Education, 2000).

The HEFCE funded project also seeks to address two key areas by using self-assessment methodologies:

- How an organisation does things in terms of the effectiveness of its management approaches.
- What results are actually achieved, relating to Customer, People, Society and Key Performance Results

(Consortium for Excellence in Higher Education, 2000).

The evaluation described above as the overall purpose of the GMP programme is intended to identify the benefits of applying the EFQM Excellence Model in HE. The author has seen the opportunity to conduct a detailed piece of research that evaluates *how* the HE institutions have approached its implementation rather than just evaluating the benefits achieved in using the EFQM Excellence Model. Successful implementation of the EFQM Excellence Model is clearly a prerequisite for the achievement of the anticipated benefits to be evaluated by the GMP project and thus is worthy of detailed study. This is detailed later in section 1.3, Purpose, Aim and Objectives of the research.

The author has expert knowledge of Quality Management as a Fellow of the Institute of Quality Assurance, has lectured in Quality Management for 11 years and worked in manufacturing industry for 13 years, where he was involved in implementing Quality Management Systems. Therefore the project presented a good opportunity to evaluate the implementation of an approach to the management of quality (the EFQM Excellence Model) in the rather different setting of UK Higher Education.

1.2 Reasons for researching into this area

1.2.1 Government Policy

Clearly the UK government (through HEFCE) are funding the GMP programme and therefore see the EFQM Excellence Model as, potentially, a means for implementing quality improvement in the HE sector. Holmes & McElwee (1995, p.5), writing on TQM in UK HE hold the view that:

"The need for managers to justify their actions and demonstrate quality and effectiveness has never been greater".

Owlia & Aspinwall (1997) state that there is a prevailing belief that higher education has entered a new environment in which quality plays an increasingly important role. McAdam et al (2002) note a continuing emphasis on cost reduction and improved customer service within the UK public sector, as successive governments have sought to control public expenditure and improve value for money and that quality is an "umbrella" programme for improving public sector performance. The Cabinet Office is encouraging the EFQM Excellence model's use in the wider public sector. In February 2000 Ian McCartney, the then Minister of State for the Cabinet Office, announced a new partnership between the Cabinet Office and the British Quality Foundation (BQF), to promote the use of the EFQM Excellence Model across the public sector (Cabinet Office Press Office, 2000). Thus the UK Public Sector Excellence Programme Team was set up in the Cabinet Office. Although attempts had been made to introduce the Total Quality Management (TQM) concept into public organisations prior to this, it was not evident that these attempts had had any notable success (Adebanjo, 2001). The Public Sector Excellence Programme's role is to help public sector organisations to use effective quality tools and

techniques to help them to improve their performance to meet delivery standards. The Cabinet Office promotes the EFQM Excellence Model as a framework which, by looking across the whole scope of an organisation's activities, produces a prioritised action plan which, in turn, will assist in determining what other tools to use and when that use would be most effective (CMPS Civil Service College Directorate, 2002).

"The Cabinet Office's Public Sector Excellence Programme aims to bring the benefits of the EFQM Excellence Model to the notice of public sector organisations, and to help them share best practice with each other; with the private sector; and with government bodies in other countries.

The Modernising Government White Paper, published in March 1999, sets out a future vision of Government re-balanced around the interests of users rather than providers. The Cabinet Office is leading a reform programme to deliver this across the public sector, promoting services which are of better quality, more effective and more responsive to users. The Excellence Model is one of the key tools underpinning this programme"
(The UK Public Sector Excellence Programme Team, 2001, p.1).

McAdam et al (2002) observe that the EFQM Excellence Model has successfully been applied in the public sector as long ago as 1996. They indicate an increasing use of the model in the public sector with over 60 per cent of agencies, 120 local authorities and over 2,000 schools using the framework. McAdam & Welsh (2000) believe that the UK can properly be described as the international leader in applying the EFQM Excellence Model in the public sector. EFQM (2000, p.5) quote Jon Green, Team Leader of the Public Sector Excellence Programme as saying:

"Today the model is being applied throughout the entire public sector, an area that accounts for 20% of the UK economy. Although the extent of market penetration varies, there is no part of the public sector where we're not applying the Excellence Model in some important way. It is currently in use in schools, hospitals, local authorities, fire brigades, all of the UK police forces, two thirds of all executive agencies and most UK central government departments."

In the same article (EFQM, 2000) an interview is conducted with Bryan Dennis, Director of the BENchmark Programme at the Civil Service College. He believes that the main attraction of the EFQM Excellence Model to Government policy makers is that it is a genuine, trusted management tool and not an academic's untried theory or politician's whimsical vote getting idea. He sees the benefit of self-assessment rather than the confrontational audit/inspection approach.

In February 2000 the Cabinet Office commissioned PriceWaterhouseCoopers (PWC) to undertake an evaluation of the Public Sector Excellence Programme. Their population was 26,114 organisations and PWC surveyed a sample of 3,500 organisations. Their findings (PriceWaterhouseCoopers, 2000) showed that there has been an explosion in public sector use of the EFQM Excellence Model. An estimated 44% of organisations were using the model -

more than two-thirds of them starting since 1998 when the Excellence Programme was expanded to include the whole public sector. It was clear at the time that, with this amount of new users, the majority of these public sector bodies were at an early stage of maturity in applying the Model. Nevertheless, 81% of the users surveyed believed that the model was already an effective tool in their organisations (Cabinet Office, 2001). The author is not surprised by this result as it is likely that the questionnaires would have been filled in by the staff responsible for implementing the EFQM model who would naturally view the model favourably. The British Quality Foundation (BQF) and the Institute of Management (IM), (Charlesworth, 2000) conducted a survey of 609 IM members into improvement initiatives in UK organisations. It was found that 15% of organisations were using the EFQM Excellence Model and that the EFQM Excellence Model was the second most popular choice (after Investors in People) for organisations considering introducing a performance improvement initiative in the near future.

Prabhu et al (2002) conducted research into business excellence in the North-East of England and surveyed 119 public sector organisations including schools, community education, and training and recruitment. It is interesting to note that there were no Universities in the sample, possibly because there were no Universities using the EFQM Excellence Model at the time. Prabhu et al (2002) conclude that service delivery and quality could be enhanced further in the public sector by the effective use of quality frameworks such as EFQM which appear to have a low priority in the sector. This conflicts with the PWC survey and might indicate that public sector organisations have not made much progress with the EFQM Excellence Model in the period between 2000 and 2001.

It is clear from the above research (McAdam et al 2002 and Prabhu et al 2002) that, although there has been considerable activity in the use of the EFQM Excellence Model in almost all areas of the public sector, there has been little or no use of it in UK Universities. Despite the lack of activity in implementing the EFQM Excellence model in UK Higher Education Institutions (HEIs), Osseo-Asare Jr. & Longbottom (2002) believe that the EFQM Excellence Model, being generic, can be successfully applied to UK HEIs. This supports the need for research into the use of the EFQM Excellence model in this sector.

1.2.2 Need to capture the learning from the consortia Universities

There is a need to identify the strengths and weaknesses in the approaches to implementing the EFQM Excellence Model in the consortia Universities in order that good practice can be used in the implementation of it in other Universities. Motwani & Kumar (1997) contend that the most difficult thing about applying TQM is the implementation process. Engelberg (2000) suggests that there is no formula for how to implement and maintain quality. Tan (1997) cites Miller

(1992) who reports that studies in the USA and Europe showed that less than half of companies that launched TQM programmes have any success. Tan (1997) suggests that the failure lies in how organisations implement it.

1.2.3 The lack of holistic quality management approaches in UK Universities

Although there are well developed systems for assessing teaching quality and research quality in UK Universities (Quality Assurance Agency (QAA)) subject review and institutional review and the Research Assessment Exercise (RAE)), there are few, if any, examples of the successful implementation of more holistic approaches to the management of quality in UK Universities such as ISO9000 or the EFQM Excellence Model. McAdam & Welsh (2000) have observed that the educational sector has experienced the application of the EFQM Excellence Model although they note that the impact up to then had been far less than in many other public services. For example, they report that only three further education institutions were using the model at the time out of an estimated 450 colleges in the sector. Kanji & Tambi (2002) conducted a survey of 163 UK universities and higher education colleges and found that only 4 institutions had implemented Total Quality Management (TQM). More recent research (Commons, 2003) affirms that few colleges have yet embraced the EFQM Excellence Model formally. There are many examples of the use of holistic approaches to the management of quality in the private sector and other areas of the public sector, however the consortia represent the first concerted effort to use one of these more holistic approaches (the EFQM Excellence Model) in the UK HE sector. It is important to see if this sort of approach is feasible in the UK HE academic environment.

1.2.4 The lack of empirically sound Total Quality implementation models

Thiagaragan et al (2001, p.290) identify that the literature is full of *"everything you need to know about TQM implementation"*, but most of the information is based on personal experiences and anecdotal evidence. According to Dean & Bowen (see Thiagaragan et al 2001, p.291) leaders question the lack of empirically sound models to assist in effective quality management.

1.2.5 The lack of success in implementing Total Quality Management (TQM) initiatives in organisations

According to Vrakking (1995), the main issue in implementation is how the best possible chance can be created to ensure that implementation of intended innovations takes place. Thiagaragan et al (2001) state that unsuccessful TQM implementation attempts are not uncommon. Thiagarajan & Zairi (1997) argue that many quality strategies fail to deliver because what is planned and what is implemented are not the same. They continue that the failure to realistically consider implementation issues is common.

Mersha (1997, p.174) states that:

"Many organizations in industrialized nations have found that successful introduction and sustenance of TQM can be elusive. A survey conducted by the Forum Corporation of 685 executives who initiated TQM indicated that.....many [organizations] have not gone past the TQM awareness stage and thus have failed to achieve the desired purpose. Some studies show that TQM implementations fail in about 70 percent of US firms".

Harari (see Sousa-Poza et al 2001, p.745) postulates that only 20 per cent of companies that implement TQM do so successfully. Yandrick (see Sousa-Poza et al 2001, p.745) is more positive and claims that about two-thirds are successful. Spector & Beer (1994, p.63) discuss the dichotomy they have found between the overwhelming support expressed in organisations for TQM principles coupled with overwhelming failure in implementation. They contend that this suggests that organisations need to become more expert at implementing the *"sweeping organisational transformation that lies at the core of TQM".* Roger et al (see Chin & Pun 2002, p.273) argue that one of the main reasons for the failure of TQM can be attributed to implementation problems. According to Lindsay & Petrick (see Chin & Pun 2002, p.273) the overwhelming volume of literature in TQM is primarily focused on techniques, prescriptions and procedures. However, less attention has been devoted to how TQM was introduced and implemented.

A survey of 469 higher education institutions on the implementation of TQM by Birnbaum & Deshotels (see Srikanthan & Dalrymple 2002, p.1) concluded that the adoption of TQM in the academy is both a *"myth and illusion".* Brigham (see Srikanthan & Dalrymple 2002, p.1) found that universities were implementing Total Quality strategies in administrative areas but were shying away from their use in academic areas.

As the EFQM Excellence Model is based on TQM principles, the author is curious to discover if successful implementation of it is just as elusive as when implementing TQM, particularly in UK University academic units.

1.3 Purpose, Aim and Objectives of the Research

1.3.1 Purpose

The general purpose of this study is to construct a guidance framework for EFQM Excellence Model implementation in UK University academic units.

1.3.2 Aim

The aim of this research is to examine how the EFQM Excellence Model implementation process has been conducted in a number of cases in UK University academic units with a view to developing a guidance framework for implementation of the EFQM Excellence Model in this particular context. This will draw upon the successes and difficulties identified in the case

studies and the existing literature on the implementation of the EFQM Excellence Model and other Total Quality Management (TQM) approaches in other contexts.

1.3.3 Objectives

- To identify the issues that impact on the implementation of the European Foundation for Quality Management's (EFQM) Excellence Model in the UK University academic environment based on knowledge of the model's implementation in other sectors, knowledge of the UK University sector and on established good practice in implementing similar quality programmes, such as Total Quality Management (TQM). These issues will be identified through a comprehensive literature review.
- To assess the effectiveness of the implementation of the EFQM Excellence Model in the case study organisations, i.e. in which ways has the use of the EFQM Excellence Model become part of the normal management activities of the institutions involved? In order to assess the effectiveness of the implementation the possible uses of the EFQM Excellence Model will be identified in the literature.
- To explore and analyse the approaches used in attempted implementation of the EFQM Excellence Model in a number of UK University case studies in order to discover the critical issues for effective implementation.
- To explain why the implementation of the EFQM Excellence Model was effective or ineffective in a number of cases in UK University academic units by reference to the theoretical framework.

1.4 Research Questions

The above purpose, aim and objectives help to guide the development of appropriate research questions. The primary research question to be asked is:

How can the EFQM Excellence Model be effectively implemented in United Kingdom University academic units?

In order to clarify this primary research question it is useful to define the key words in it. The key phrase in it is *effectively implemented.* Therefore the words *effective* and *implement* will be defined.

Implement

"To carry into effect" (Oxford English Dictionary, 2003).

"To carry out or put into effect" (Wordsmyth, 2003).

"To put a plan or system into operation" (Cambridge Dictionary, 2003).

Effective

"Having practical operation" (Oxford English Dictionary, 2003).

"In use, in operation" (Newbury House Online Dictionary, 2003).

"Successful or achieving the results that you want" (Cambridge Dictionary, 2003).
It can be seen from the above definitions that implementation infers effectiveness. Therefore something that is *effectively implemented* is something that is in operation or use.

The pivotal word in the primary research question is *effectively*. Although the issue of how this research question can be answered will be dealt with in more detail in the research methodology chapter the author thought it would aid the reader's understanding if a brief description of the criterion for assessment of the effectiveness of the implementation was placed here.

The author will argue that the EFQM Excellence Model would have been effectively implemented when its use has been integrated into the regular management practices of the organisation. This is based on the definition of *effectively implemented* described above. For example, has ownership of the self-assessment process been demonstrated by staff in schools/departments/divisions carrying out their own self-assessments and/or are the improvement plans generated in self-assessment linked in to the organisation's strategy and/or business planning process? Fullan & Pomfret (see Vrakking 1995, p.44) describe the goal of implementation as:
"maximization of the degree in which the actual use of an innovation corresponds with its intended use".

So if an organisation was actually using the EFQM Excellence Model in the way that it intended, then it could be argued that it had been effectively implemented. Another perspective on whether the EFQM Excellence Model had been effectively implemented could be when it had had a positive impact on the key results of the organisation, however this would be extremely difficult to assess as the areas for improvement identified through the process of self-assessment would be unique to each organisation. Thus the impact on key results would be unique. This would not facilitate an equitable assessment of whether implementation had been effective in each of the organisations. In addition it would be difficult, if not impossible, to demonstrate causality between the EFQM Excellence Model self-assessment process and improvements in the key results of the case study organisations as a number of complex factors impact on these results in addition to the process of self-assessment. This view is supported by PriceWaterhouseCoopers (2000), who report that experiences from commercial sectors that have considerable maturity in the EFQM Excellence Model suggest that causal links between the use of the EFQM Excellence Model and outcomes achieved can only start to materialise within a timeframe of five years or more. As the consortia members have only been using the model for three years it would be difficult to establish these causal links. It is also possible that an organisation might have achieved some isolated improvements through the use of the EFQM Excellence Model without having properly integrated the model into the regular management practices of the organisation. The author argues that it is this integration that is likely to result in

long-term improvements in an organisation. This then is a more robust view of *effective implementation.*

The secondary research questions are:

What are the issues that impact on the implementation of the European Foundation for Quality Management's (EFQM) Excellence Model in the UK University academic environment?

What are the possible uses of the EFQM Excellence Model?

How was implementation of the EFQM Excellence Model attempted in a number of UK University case studies?

Why was the implementation of the EFQM Excellence Model effective or ineffective in a number of cases in UK University academic units?

1.5 Scope of the Research

The scope of this research is limited to case studies selected from the members of the two consortia mentioned earlier who are also universities (not the HE Colleges) as they match the requirements of being UK Universities and also of using the EFQM Excellence Model. In addition, the consortia members have all received funding from HEFCE to facilitate the implementation and thus are on an even footing with each other in terms of having resources available to initiate the project. Clearly a lack of means to fund the project would present a very practical barrier to implementation. All the HEIs in the two consortia started at the same time (June 2000) and this helps to rule out differences in progress towards implementation due to the time available. The fieldwork will be limited to cases of implementation in academic units (schools/departments/faculties) within the institutions. The reason for this is that the author has discovered by informal interviews with the two consortia project managers that there have been very few attempts to implement the EFQM Excellence Model in these academic units and the most progress has been made in administrative areas of HEIs. The author proposes that implementation in these administrative areas of HEIs is unlikely to be significantly different to that in the administrative areas of other public sector organisations or commercial businesses. On the other hand the relatively low number of attempts to implement the EFQM Excellence Model (or TQM) in academic areas might suggest that this has presented barriers to implementation that don't occur in the administrative areas. This proposition is supported by research carried out by Aly & Akpovi (2001) in California public higher education:

"Many TQM advocates in academia have supported the idea of starting TQM implementation on the business side of universities; first, because it is relatively easier. The results of the survey tend to enforce this idea and indicate that most universities implementing TQM do start with

their administrative services where processes are very similar to business processes in industry" (Aly & Akpovi, 2001, p.129).

Aly & Akpovi's (2001) research revealed that administrative services was the most popular area for TQM implementation (76%) and only 18% of the universities reported implementing TQM at the school/college level. In addition Owlia & Aspinwall (1997) observed that, in the UK, TQM implementation, up to that point in time, had mainly focused on administrative sections of universities and colleges. Melan (1998) reports on a survey published by the American Society for Quality Control in 1994 which indicated that, of 206 US institutions of higher education participating in TQM, 84% were utilising quality improvement in administration. They see this as reflecting the relative similarity of college and university administrative activity to that of business. An extensive piece of research by Harvey (1995) revealed that there was a great reluctance among universities to apply TQM principles to their academic programmes and that where TQM had been applied in universities it had most often been in administrative and service departments.

The author is aware from his membership of the EFQM's Community of Practice for Education that other (three or four) UK universities who are not members of the consortia have started to use the EFQM Excellence Model, but these have been using it for a shorter period of time than the consortia members and haven't received any HEFCE funding to support its implementation. Therefore they will be excluded from this piece of research as the lack of funding and the fact that they started their implementation programmes later than the consortia members would make it difficult to assess whether the implementation had been effective because of the diminished opportunity to carry out the implementation process. Hides (2002) made a presentation about the use of the EFQM Excellence model to the Association of University Administrators in April 2002 (this session was attended by senior administrators from 15 UK universities). It was clear from the response of the audience that none of their universities were implementing or indeed had much awareness of the EFQM Excellence Model at that time.

The author is aware from his involvement in research networks and attendance at research conferences, that a number of European Universities are attempting to use the EFQM Excellence Model, however Universities in each country operate in quite different environments brought about by factors such as legislation, regulatory frameworks, funding mechanisms and stakeholder expectations. The UK universities in the consortia all operate in the same general environment, started the implementation of the EFQM Excellence Model at the same time and have all had HEFCE funding to support the implementation which provides a basis on which an equitable investigation can be made. Therefore it is more appropriate to consider the European Universities as part of the literature review (where current knowledge of the use and

implementation of the EFQM Excellence Model is documented) rather than the fieldwork aspect of the research.

1.6 Research Methodology

This research involves two main stages. Stage 1 involves conducting a literature review to develop a theoretical framework for implementing the EFQM Excellence Model in UK University academic units, while stage 2 involves conducting a series of case studies within UK University academic units that are implementing the EFQM Excellence Model in order to discover how the implementation process was carried out.

1.6.1 Literature Review

A literature review will be conducted to determine what research has already been done in the area in order to identify the issues around implementation that need to be explored in the subsequent fieldwork. This literature review will integrate knowledge of the UK University environment, generic knowledge on the implementation of TQM programmes and specific knowledge on the implementation of the EFQM Excellence Model.

1.6.2 Case Studies

The next stage of the research will involve carrying out case studies in UK University academic units. The Universities involved will be detailed in chapter six. The case study approach was chosen to provide rich and deep insights into the issues being investigated. The findings of the case studies will be used to shed a practical light on the theoretical framework

UK Universities encompass a large and varied range of organisations – the "old", pre-1992 Universities and the post-1992 Universities (the former Polytechnics). Within each of these categories there exist many differences in history, local factors, structures, modes of governance, specialisms and the relative balance between Teaching, Research and Academic Enterprise (the interaction, often on a commercial basis, with business and the community) activities. Each University is therefore unique making it difficult for a researcher to carry out research that would be representative of the sector as a whole. With such a scenario, it would be extremely difficult to conduct research that would be valid and reliable to the point where it could be claimed that the findings were generalisable to all UK Universities. However, by being aware of the similarities and differences between the case study organisations it is the author's intention to develop a framework to provide guidance for implementing the EFQM Excellence model in UK University academic units.

For the purposes of this study, the author adopted the case study approach to enable deep insights to be gained into the views of people in the organisations on the use and

implementation of the EFQM Excellence Model. A quantitative approach, such as doing a survey, is good for probing common factors and establishing general patterns, but is not effective in helping to understand the reasons for what was done, why it was done and how things were done (Yin, 1994). In essence, the research is an exploratory study intended to develop a guidance framework for the implementation of the EFQM Excellence Model in UK University academic units. The rationale for the chosen research strategy will be explained in more detail in Chapter 5.

1.7 Intended Contributions of the Study

The intention of this study is to contribute to the body of knowledge on the implementation of the EFQM Excellence Model in the UK Higher Education sector by attempting to bridge the gap between existing theories, knowledge and approaches of EFQM Excellence Model implementation and that required for guiding effective implementation in UK university academic units. Particularly the main contribution will be a guidance framework for implementing the EFQM Excellence Model in academic units of UK universities. There is now an abundance of literature on the EFQM Excellence Model, some of which addresses implementation. The majority of case studies in the literature deal with private sector organisations, fewer with public sector organisations, even fewer with UK HE and fewer still (almost none) with UK university academic units. It is this gap in knowledge that this thesis is designed to address. From an application standpoint, the framework is aimed at increasing the degree of effectiveness in implementation of the EFQM Excellence Model.

1.8 Structure of the Thesis

This thesis is divided into eight chapters. Chapter Two contains a review of the content, development and uses of the EFQM Excellence Model. Chapter Three contains a review of the literature on the issues that could impact on the effective implementation of the EFQM Excellence Model in UK University academic units. This includes a review of the literature on the implementation of generic TQM programmes and a review of the literature on the specific implementation of the EFQM Excellence Model in industry, the broad public sector and the HE sector. This chapter will also include a review of contextual issues in UK University academic units that could impact on the success of EFQM Excellence Model implementation. Chapter Four explains the development of the theoretical framework for implementation of the EFQM Excellence Model in UK University academic units. This will be based on the integration of the knowledge from the above literature reviews. The set of issues described in this framework will be explored in the case studies.

Chapter Five covers the research methodology. The issues related to research design and the rationale for choosing the case study strategy will be addressed. The data collection methods

and instruments, and methods of analysis, related to the aim and objectives of this research will be described and justified.

Chapter Six presents the findings of the study (data analysis). Chapter Seven provides a discussion of the findings and draws comparisons and contrasts with the theory and literature. The limitations of the research will be discussed, the contributions of the research will be described and recommendations will be made for both the case study organisations and for further related research.

In the final chapter, Chapter Eight, conclusions will be drawn and the recommendations for further related research will be summarised.

1.9 Chapter Summary

This chapter has provided an introduction to the research study, stated that the aim of the research is to examine how the EFQM Excellence Model implementation process has been conducted in a number of UK university academic units, outlined the case study methodology to be used, defined the intended contribution of the study to the body of knowledge on the use of the EFQM Excellence Model in the UK university environment and described the structure of the thesis.

CHAPTER 2

LITERATURE REVIEW

THE CONTENT, DEVELOPMENT AND USES OF THE EUROPEAN FOUNDATION FOR QUALITY MANAGEMENT'S EXCELLENCE MODEL

2.0 Chapter Introduction

This chapter includes reviews of the content, development and uses of the EFQM Excellence model in order to provide an in-depth understanding of the detail of the model, the concepts and processes on which the model is constructed, the history of its development and the actual and suggested uses of the model in sectors other than UK HE. The issues that emerge from this chapter of the literature review will inform the theoretical framework to be developed in chapter four and help to provide a focus for the fieldwork element of the research. This then will contribute to the achievement of the objective: *To identify the issues that impact on the implementation of the European Foundation for Quality Management's (EFQM) Excellence Model in the UK University academic environment.* The uses of the model identified in this literature review chapter will form a basis for assessing if implementation has been effective in the case studies to be investigated in the fieldwork and thus will partly contribute to the achievement of the objective: *To assess the effectiveness of the implementation of the EFQM Excellence Model in the case study organisations.* Implementation would be deemed to have been effective if the EFQM Excellence Model is in use in the case study organisations. This has been described in detail in section 1.4.

2.1 The European Foundation for Quality Management's Excellence Model

The EFQM Excellence Model is a non-prescriptive framework based on nine criteria as shown in Figure 2.1. Five of these are 'Enablers' and four are 'Results'. The 'Enabler' criteria cover what an organisation does. The 'Results' criteria cover what an organisation achieves. 'Results' are caused by 'Enablers' and feedback from 'Results' helps to improve 'Enablers' (EFQM, 2003a).

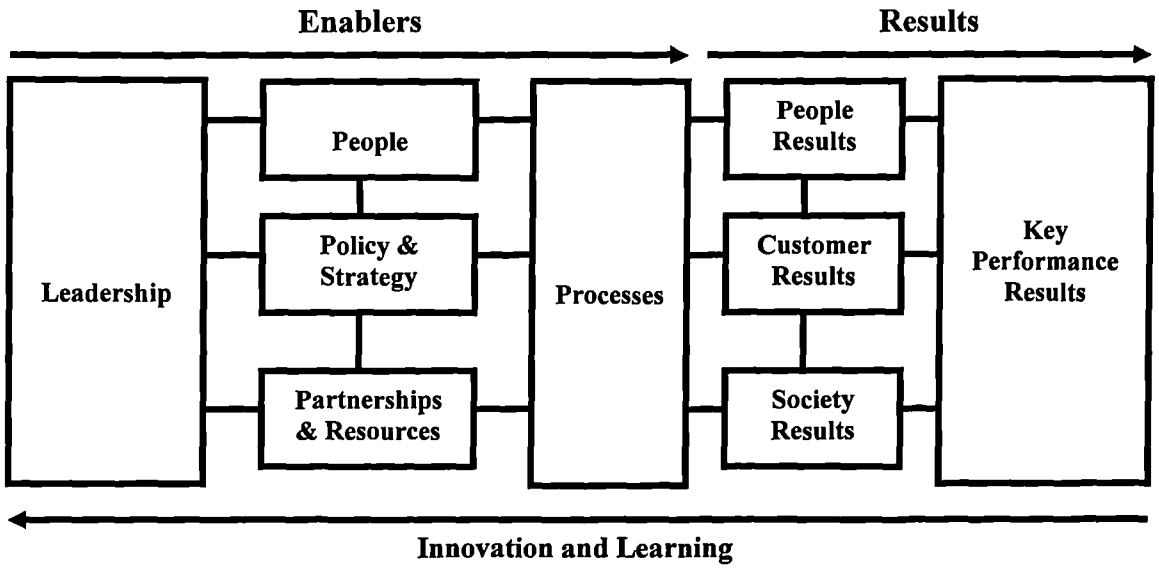

Figure 2.1: The EFQM Excellence Model (EFQM, 2003a)

The Model, which recognizes there are many approaches to achieving sustainable excellence in all aspects of performance, is based on the premise that:

Excellent results with respect to Performance, Customers, People and Society are achieved through Leadership driving Policy and Strategy, People, Partnerships, Resources, and Processes. (EFQM, 2003a). Ghobadian & Woo (1996) confirm that the model implicitly recognizes that the quality of the final offerings is the end result of a complex of integrated processes and employees' efforts and that it provides a useful audit framework against which organisations can evaluate their quality management methods, the deployment of these methods, and the end results. This view is supported by Gadd (1995, p.69) who states:
"Clearly, the model allows measurement of more than just performance. It also allows for measurement of how the organization operates".

The Model's nine boxes, shown in figure 2.1, represent the criteria against which to assess an organisation's progress towards excellence. Each of the nine criteria has a definition, which explains the high level meaning of that criterion (EFQM, 2003a).

To develop the high level meaning further each criterion is supported by a number of sub-criteria. Sub-criteria pose a number of questions that should be considered in the course of an assessment. The detail of this is contained in appendix 1.

Below each sub-criterion are lists of possible areas to address. The areas to address are not mandatory nor are they exhaustive lists but are intended to further exemplify the meaning of the sub-criterion (EFQM, 2003a).

2.2 The Concepts and Processes on which the EFQM Excellence Model is based

This section covers three areas; Total Quality Management concepts, Self-Assessment and Scoring.

2.2.1 Total Quality Management Concepts

EFQM (2002) explain that the EFQM Model is a non-prescriptive framework that recognises there are many approaches to achieving sustainable excellence. Within this non-prescriptive approach there are some Fundamental Concepts which underpin the EFQM Model. These are expressed below (EFQM, 2003a) and are based on well-established Total Quality Management (TQM) principles (the model's original title was 'The European Model for Total Quality Management' (Porter & Tanner, 1996)). There is no significance intended in the order of the concepts. The list is not meant to be exhaustive and they will change as excellent organisations develop and improve.

Results Orientation

Excellence is achieving results that delight all the organisation's stakeholders.

Customer Focus

Excellence is creating sustainable customer value.

Leadership & Constancy of Purpose

Excellence is visionary and inspirational leadership, coupled with constancy of purpose.

Management by Processes & Facts

Excellence is managing the organisation through a set of interdependent and interrelated systems, processes and facts.

People Development & Involvement

Excellence is maximising the contribution of employees through their development and involvement.

Continuous Learning, Innovation & Improvement

Excellence is challenging the status quo and effecting change by using learning to create innovation and improvement opportunities.

Partnership Development

Excellence is developing and maintaining value-adding partnerships.

Corporate Social Responsibility

Excellence is exceeding the minimum regulatory framework in which the organisation operates and to strive to understand and respond to the expectations of their stakeholders in society.

Ghobadian & Woo (1996) see the above as providing an implementable total quality management model. This view is supported by Porter & Tanner (1996) who view the self-assessment process as enabling the progress of TQM programmes to be monitored in a systematic way. Kanji & Tambi (2002) consider business excellence models (including the EFQM Excellence Model) to be special types of TQM models that provide measures of key organisational areas and demonstrate the contributory effect of those key areas to overall organisational performance. Thus self-assessment using the EFQM Excellence Model can be seen as a systematic approach to introducing TQM concepts into an organisation whilst also monitoring changes in organisational performance. This view, however, is not universal.

Much has been written on the concepts contained within TQM, principally derived from the thoughts of a number of quality *gurus*. Kanji & Tambi (2002) list Deming, Juran, Crosby, Ishikawa, Garvin, Feigenbaum and Taguchi as the major quality writers. According to Van der Wiele et al (see Kanji &Tambi 2002, p.15), TQM involves an application of quality management principles to all aspects of an organisation, including customers. They continue that TQM has an emphasis on prevention, continuous improvement and customer focus in order to produce high quality products and services that will satisfy the needs of customers.

McCulloch (see Harris 1994, p.34) argues that regarding TQM as simply a management technique is inadequate and it is more properly seen as a set of institutional values. Porter & Tanner (1996) describe TQM as a business approach that focuses on improving the organisation's effectiveness, efficiency and responsiveness to customers' needs by actively involving people in process improvement activities. They argue that measurement is fundamental to knowing if improvement has occurred and that self-assessment provides a means of monitoring the progress of TQM programmes.

Kanji &Tambi (2002) differentiate between conceptual models of TQM and measurement models. The TQM concepts listed above would be seen as a conceptual model by this definition and the EFQM Excellence Model as a measurement model. There is debate in the literature about whether the EFQM Excellence Model (and other measurement models) adequately links together the concepts of TQM and its measurement. Taylor & McAdam (2003) argue that the emphasis on processes within the EFQM Excellence Model is largely mechanistic with processes more closely linked with material objects than people issues and flows of knowledge. They are also critical of the lack of emphasis on empowerment (a fundamental TQM concept) within the EFQM Excellence Model with only one part of one criterion directly related to empowerment. Oakland & Porter (2004) propose a new model for TQM that addresses both the *hard* (planning, process, performance and people) and *soft* (communication, commitment and culture) issues of quality. This is an attempt to bridge the gap between the conceptual and measurement models of TQM described by Kanji & Tambi (2002). EFQM (2003a) themselves have also attempted to make this linkage by providing a matrix to show the significant links between the fundamental concepts and the criteria of the EFQM Excellence Model. In addition they list a large number of *red threads* which link concepts with specific sub-criteria of the EFQM Excellence Model. So it has been recognised that the linkage between TQM concepts and the criteria of the EFQM Excellence Model needed to be made more explicit.

As the EFQM Excellence Model is therefore a special type of TQM model it makes sense to review literature on the implementation of TQM and not just the implementation of the EFQM Excellence Model specifically, as it is likely that there will be some implementation issues that are common or transferable. This will be dealt with in detail in chapter 3.

2.2.2 Self-Assessment

The EFQM (2003b) definition of self-assessment is:

"Self-Assessment is a comprehensive, systematic and regular review of an organisation's activities and results referenced against the EFQM Excellence Model. The Self-Assessment process allows the organisation to discern clearly its strengths and areas in which improvements can be made and culminates in planned improvement actions which are then monitored for progress".

Thus it can be seen from the above definition that self-assessment is a vehicle for systematic continuous improvement in an organisation. An extensive study by Coulambidou & Dale (1995) supports this view. The surveyed organisations when asked which factors were the most important for justifying their continuing with self-assessment, identified the following:

- Identify opportunities for improvement
- Provide new motivation for the quality improvement process
- Direct the improvement process
- Manage the business

Hillman (1994) sees four main areas of benefit in using self-assessment:

1. Measurement:
    - Gaining consensus on what has been achieved and what still needs to be done.
    - Enabling managers to prioritize action based on facts and identified needs.
    - Providing data to compare with, and learn from, "world class" organizations.
    - Providing data on improvements over time.
2. Applying best practice:
    - Learning from each other and from other organizations.
    - Providing objective reviews of progress.
    - Providing a common approach to use in all departments and on all sites.
    - Minimizing the effort needed to develop assessment methods at different sites.
3. Involvement:
    - Enabling everyone to contribute to the assessment process, thereby bringing ownership of the results and proposed actions.
    - Enabling staff to see the impact of their improvement efforts.
    - Enabling senior managers to drive the improvement process and to empower their staff to exercise initiative at their own level.
4. Reinforcement of direction:
    - Demonstrating the long-term commitment, and consistency of purpose.
    - Integrating improvement activity into everyday life by focussing on business results.
    - Providing a practical tool to drive continuous improvement.

Clearly there is a degree of overlap between the results of Coulambidou & Dale's survey and Hillman's views, which are based on his experience of training consultancy in organisations using the EFQM Excellence Model. There is clear agreement that self-assessment helps in identifying areas for improvement and directing the improvement process. Coulambidou & Dale emphasise providing motivation for the improvement process and managing the business whereas Hillman puts his emphasis on the involvement of staff and the application of best practice. Barnett (1992) describes this self-assessment approach to the management of quality as a developmental approach to quality, which is conducted from a primarily internal viewpoint in Universities.

The European Foundation for Quality Management (2003b) suggests a number of approaches for self-assessment, which are questionnaire, matrix chart, workshop, pro-forma and award simulation.

The EFQM (2003b) recognise that each self-assessment approach delivers different benefits and involves different resources and risks. Before an approach is chosen it is important to consider what the organisation is hoping to achieve from using the EFQM Excellence Model. For instance, if the aim is to secure a 'quick fix' to a specific problem then this is unlikely to occur given the long-term nature of the Model. Alternatively, if the organisation is looking to achieve a quality award it must be remembered that the RADAR scoring matrix (see later) awards higher scores to organisations who can demonstrate positive trends for more than 3 years, in a wide scope of result areas. Thereby implying that continuous improvement efforts needed to have been well underway prior to embarking upon using the EFQM Excellence Model for attaining an award.

In line with this thinking the EFQM (2003b) have a menu of approaches that organisations can choose from dependent upon whether they are well on the way with applying quality concepts and frameworks, just starting the journey or somewhere in between the two. A distinction is also made between the amount of effort required for each approach in terms of low, medium and high effort. Clearly these choices depend upon the availability of resources within the organisation regarding commitment, time, energy, information and finance. Likewise the organisation may consider applying the EFQM Model throughout all departments at once or design a phased approach, whereby some departments will apply it before others, dependent upon the aforementioned resources available.

Questionnaire approach

Deemed by the EFQM (2003b) as one of the least labour intensive approaches (providing an existing questionnaire is used) the questionnaire self-assessment approach aims to obtain the views of [all] the people within the organisation.

The benefits associated with this approach are that it is quick and easy to apply, can involve all the organisation's people, supports communication efforts and can be used in conjunction with other approaches. The associated risks are that the strengths and areas for improvement cannot be ascertained, accuracy of feedback is dependent upon the phrasing of the original questions, there may be questionnaire fatigue within the organisation and expectations can be raised and unfulfilled if timely, appropriate actions do not occur (EFQM 2003b).

Matrix chart approach

In essence the matrix chart approach requires an organisation to create a series of achievement statements that can be assigned a rating from 1-10. Statements would have to be identified for all the nine criteria of the Model, thereby involving the creation of 90 achievement statements in total. The matrix chart is then used by management teams who self-assess where the organisation is in relation to the statements.

The benefits associated with this approach are that it is simple to use, requires minimal training, can involve all the organisation's people, supports team discussion and clearly demonstrates progress and the lack of progress in relation to all the nine criteria of the EFQM Excellence Model (EFQM 2003b). The associated risks are that the list of strengths and areas for improvement are not produced, it does not allow comparisons against EQA applicants and there is no direct cross-reference between the matrix statements and the sub-criteria of the Model. (EFQM 2003b).

Workshop approach

The workshop approach has five distinct phases;

1. Training
2. Data collection
3. A scoring workshop
4. Prioritisation of improvement actions
5. A review of progress

The latter becomes part of the normal review process for the organisation. The benefits associated with this approach are that it; is an excellent way to familiarise management teams to understand the Model, supports team building and allows for discussion and agreement regarding the strengths and areas for improvement, which provides motivation towards improvement actions (EFQM 2003b). The associated risks are that it; is less robust that the award simulation approach requires expert facilitation and can result in unrealistic, often over generous scoring (EFQM 2003b).

Pro-forma approach

The pro-forma approach involves using a set of pro-formas, which in total contain all the 32 sub-criteria of the EFQM Excellence Model. Appendix 2 contains extracts from the example given in the EFQM booklet 'Assessing for Excellence. A Practical Guide for Self-Assessment' (EFQM 1999).

Assessment teams collect the appropriate information and then use the pro-formas to undertake a self-assessment. The benefits associated with this approach are that it; provides factual information, delivers a list of strengths and areas for improvement, can involve a range of the

organisation's people and provides a reasonably accurate indication of an award application score (EFQM 2003b).

The associated risks are that; the process is dependent upon good data collection and the pro-formas can stifle recognition of the full story relating to excellence development (EFQM 2003b).

Award simulation approach

The award simulation approach is in essence a replication of the process for entering for the European Quality Award. It involves preparing a full submission document abiding by the criteria laid down in the EFQM Award Application brochure (EFQM 2003b). Subsequently a team of trained assessors, either internal or external to the organisation, scores the application and provides a feedback report containing a list of strengths and areas for improvement.

The benefits associated with this approach are that it provides; a list of strengths and areas for improvement, an excellent communication document, an opportunity to compare performance with other organisations and a rehearsal for applying for the EQA. The associated risks are less involvement of managers because the task is usually delegated, a potential for creative writing and it can be too ambitious for an organisation early on in its journey towards excellence (EFQM 2003b).

Clearly the issue of which self-assesssment approach to use and why is a significant one for organisations. This issue will be explored in the fieldwork.

To help organisations with the process of self-assessment, RADAR logic was introduced and can be seen diagrammatically in figure 2.2 (adapted from EFQM, 2002).

RADAR consists of four elements:
Results,
Approach,
Deployment,
Assessment and
Review

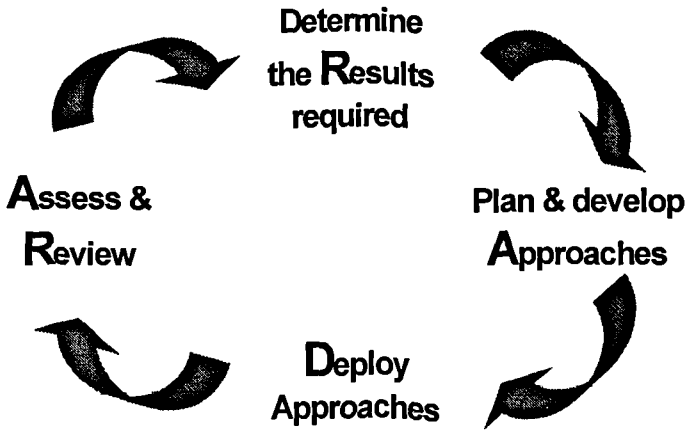

Figure 2.2 RADAR Logic

This logic states that an organisation needs to:

- Determine the **R**esults it is aiming for as part of its policy and strategy making process. These results cover the performance of the organisation, both financially and operationally, and the perceptions of its stakeholders.
- Plan and develop an integrated set of sound **A**pproaches to deliver the required results both now and in the future.
- **D**eploy the approaches in a systematic way to ensure full implementation.
- **A**ssess and **R**eview the approaches followed based on monitoring and analysis of the results achieved and ongoing learning activities. Based on this identify, prioritise, plan and implement improvements where needed.

When using the model within an organisation, for example for the purposes of Self-Assessment, the Approach, Deployment, Assessment and Review elements of the RADAR logic should be addressed for each Enabler sub-criterion and the Results element should be addressed for each Results sub-criterion (EFQM, 2002)..

***Applying* RADAR logic**

The following describes the specific elements of the **RADAR** concept that should be addressed (EFQM, 2002):

Results

This covers what an organisation achieves. In an excellent organisation the results will show positive trends and/or sustained good performance, targets will be appropriate and met or exceeded, performance will compare well with others and will have been caused by the approaches. Additionally, the scope of the results will address the relevant areas.

Approach

This covers what an organisation plans to do and the reasons for it. In an excellent organisation the approach will be sound -having a clear rationale, well-defined and developed processes and

a clear focus on stakeholder needs, and will be integrated - supporting policy and strategy and linked to other approaches where appropriate.

Deployment

This covers the extent to which an organisation uses the approach and what it does to deploy it. In an excellent organisation the approach will be implemented in relevant areas, in a systematic way.

Assessment & Review

This covers what an organisation does to assess and review both the approach and the deployment of the approach. In an excellent organisation the approach, and deployment of it, will be subject to regular measurement, learning activities will be undertaken, and the output from both will be used to identify, prioritise, plan and implement improvement.

Jackson (2001, p.138) compares the RADAR logic to the Deming/Shewhart cycle of continuous improvement and continues later:

"All in all it can be seen that applying the RADAR logic is a rigorous process that has the potential to achieve desired results providing efforts are continuous and relentless, measurements are timely and appropriate, and learning opportunities are not overlooked. Furthermore, applying the RADAR logic to the nine criteria of the EFQM Excellence Model is a demanding exercise that requires a sensible implementation approach best achieved by starting simple".

Awkati (2000, p.27) recommends introducing the EFQM Excellence Model in a *"back to front"* fashion using RADAR and starting with Results then moving round the RADAR cycle without mentioning the EFQM Excellence Model or its criteria.

2.2.3 Scoring

The weightings for each of the criteria in the EFQM Excellence Model are as follows:

- Leadership 10%
- People 9%
- Policy and Strategy 8%
- Partnerships and Resources 9%
- Processes 14%

} Enablers 50%

- People Results 9%
- Customer Results 20%
- Society Results 6%
- Key Performance Results 15%

} Results 50%

Jackson (2001) explains that the percentages are those that emerged from the values and experiences of the 14 founder member businesses of the EFQM. She notes that it is interesting that these weightings have remained the same despite the extensive consultation exercise that was undertaken with all member organisations of the EFQM (over 800) during 1997 to 1999. There is however some debate on the weightings as they appear in the EFQM Excellence Model. Oakland (1999) is of the opinion that the weightings are not rigid and may be modified to suit specific organisational needs. Eskildsen et al (2001) surveyed 756 Danish organisations using the EFQM Excellence Model to find out how the importance of the different criteria was perceived by the business community. The results showed that Danish companies perceive the enabler block to be more important than the result block. They would allocate approximately a 70% weighting to the enablers and a 30% weighting to the results. This is understandable as the enablers cause the results and not the other way around (Oakland, 1999). Thus putting greater emphasis on the enablers would seem a sensible thing to do. The following table (table 2.1) shows the weightings for each of the nine criteria from the Danish survey compared with those contained within the EFQM Excellence Model.

EFQM Criteria	**EFQM % Weighting**	**Danish Study % Weighting**
Leadership	10	14.4
People	9	13.5
Policy & Strategy	8	14.4
Partnerships & Resources	9	13.6
Processes	14	16.4
People Results	9	8.7
Customer Results	20	9.0
Society Results	6	5.4
Key Performance Results	15	5.6

Table 2.1. The importance of the EFQM criteria as perceived by the Danish business community (extracted from Eskildsen et al (2001)).

The maximum score that can be attained is 1000 points although organisations winning the European Quality Award tend to score 600 - 700 points (Jackson, 2001). Some authors espouse the benefits of scoring. Gadd (1995) indicates that scoring serves three important functions:

1. To identify winners in an award process.
2. To provide a yardstick for identifying strengths and areas for improvement.
3. To provide an opportunity for benchmarking against other business units/divisions within the same organisation, and externally with other organisations using the same self-assessment model.

However many authors have drawn attention to the negative aspects of the scoring system. Dale et al (1998) observed a preoccupation with the scoring mechanism and scores to the detriment of developing improvement plans. Dale et al (2000, p.6), having carried out extensive research into the use of the EFQM Excellence Model, highlighted this significant problem with points-scoring:

"The emphasis of many organisations (mainly those with a lack of experience of continuous improvement) is now on scoring points against the criteria of award models and away from the fundamental basics of the technical essence of quality. Quality management, TQM, business excellence, or excellence - or whatever you want to badge it - has become yet another organizational control system which has to be manipulated and beaten, with high scores attained and improved upon".

Conti (1997) warns of the risks involved in scoring. It can result in an obsession with numbers and he has observed that companies become hopelessly addicted to the numbers game instead of using self-assessment as a diagnostic tool for improvement. His self-assessment model does not weight the categories. Samuelsson & Nilsson (2002) reported on a case in which a company had previously used scoring as a base for an internal quality award to motivate people. However the competition was cancelled since it caused the focus to shift to collecting scores rather than improving performance. Samuelsson & Nilsson (2002) also note a suggestion from EFQM that scoring does not have to be included at all in self-assessment. Arcelay et al (1999) conducted research in Spanish healthcare organisations. Out of thirty institutions using self-assessment, three did not carry out the scoring process. The reasons for their decision not to use points scoring are not provided in the paper as it focuses on the points scored by the institutions that did use scoring. Exploring the rationale behind these decisions could have increased the value of this piece of research.

Leonard & McAdam (2002a, p.21) quote a manager interviewed as part of their research into organisations using the EFQM Excellence model who makes a point about the dangers of measurement and in particular the scoring system of the EFQM model:

"When you start assessment, self-assessment in departments, you'll be looking at scores because there's danger if you do that, managers are going to start creating scores here. And I've a feeling at the moment that the right way to approach it is not to have a score".

Lewis (1999) reports on the development of an initiative in Southwark Council called 'Towards Service Excellence' (TSE) based on the EFQM Excellence model. After the initial run of the initiative in 1996, TSE was revised in 1997 to add in scoring to enable comparison and external assessment, but this led to hyped scores which masked actual performance rather than providing a rigorous platform for improvement. According to Lewis, this demonstrated that managers were more motivated to clear targets and hurdles than effect real improvement in service quality. This view is supported by de Dommartin (2000) who explains that one of the reasons that EFQM chose to improve the EFQM model at that time was that the emphasis on scoring was not

conducive to improvement efforts and progress. Oakland (1999) states that scores should not become an end in themselves. Jeanes (2000) describes the scoring as optional, the focus of self-assessment being on identifying strengths and areas for improvement. The CMPS Civil Service College Directorate (2002, p.4) offers the following view:

"You will be much more successful if the objective from the start is performance improvement rather than simply to attain a high score".

PriceWaterhouseCoopers (2000) reported from an extensive survey that, in a number of cases, organisations undertook their self-assessment without using the scoring mechanism. As they became more familiar with the process of self-assessment then the scoring system was given more importance. This was usually the case on their second or third self-assessment cycles. Although some organisations could see advantages in producing scores, for example, for participating in the benchmarking database run by the Civil Service College, the majority of managers interviewed instead concentrated their efforts on assessing, prioritising and targeting areas for improvement. The research evidence provided by PriceWaterhouseCoopers (2000) further supports the view that scoring is incidental to self-assessment against the Excellence Model through:

- The number of public sector organisations choosing to down play or ignore internal self-assessment scores; and
- The low level of take up in sharing self-assessment scores with the Civil Service College database.

A study of the benefits of using the EFQM Excellence Model conducted by the Bristol Quality Centre in 1993 cited in Porter & Tanner (1996) reports that some organisations use self-assessment scores to measure, compare and rank interdivisional performance and to create league tables. A warning is given of the potential danger of league tables, such as increased competition and less cooperation. The researchers conclude that the use of self-assessment for interdivisional comparisons is highly dependent on the culture of the organisation. The findings of a very extensive piece of research by PriceWaterhouseCoopers (2000) into the use of the EFQM Excellence Model in the public sector support this view. A great fear expressed by public sector organisations was that the government may in some way seek to enforce compulsory scoring of organisations and generate 'name and shame' league tables - a scenario all commentators believed would be the death knell of the Excellence Model in the public sector. The author notes that this may be an issue to be aware of in the context of UK HE, as inter-institution comparisons are made against a series of measures and reported in the UK national press. In the author's experience in UK universities, this type of comparison provokes widespread ill feeling within the sector. Any attempt to use the scores from an EFQM Excellence Model self-assessment to construct comparative league tables, either within or between HEIs, would have to be preceded by a careful assessment of the cultural and behavioural implications of such a system.

In addition, the fact that the maximum score that can be achieved is 1000 infers that there is a standard for excellence. This is at odds with the notion that the EFQM Excellence model exists to promote continuous improvement in an organisation through the identification of areas for improvement. The author would argue that even an organisation that scores the maximum of 1000 points still has scope for improvement. This is another argument that undermines the scoring process. In the recent 'refreshment' of the EFQM Excellence Model, Coles (2003, p.14) reported that in RADAR an in-depth description of scoring is not covered. She explained that the EFQM had decided on this to ensure that:

"The true value of the RADAR process is gained (Plan, Do, Check, Act) rather than just a mechanism for scoring".

This provides further evidence to support the view that scoring can detract from the improvement process. It can be seen clearly from the above debate that the decisions of whether to use scoring as part of self-assessment, whether to amend the weightings given in the model and subsequently what purposes any scores should be used for are significant for organisations as they impact on organisational behaviour. These aspects will be explored further in the fieldwork.

2.3 The History of the Development of the EFQM Excellence Model

Hides & Davies (2002) reviewed the history and development of the EFQM model. The success of the Baldrige Model (USA) and the Deming prize (Japan) encouraged the formation of the European Foundation for Quality Management (EFQM) in 1988. The 14 founders of EFQM were all Presidents of world-class organisations representing a number of different markets and were endorsed by the European Commission. The full list of organisations was:

- Bosch
- BT
- Bull
- Ciba-Geigy
- Dassault
- Electrolux
- Fiat
- KLM
- Nestlé
- Olivetti
- Philips
- Renault
- Sulzer
- Volkswagen

The EFQM Excellence model, previously called the European Model for Business Excellence, was introduced in 1991 with the European Quality Award being awarded for the first time in 1992. From its inception, the adoption of Total Quality Management (TQM) principles has been at the heart of the EFQM vision. This vision was restated in 2000 as:

"A world in which organisations in Europe excel" with the role of the EFQM *"to be the driving force for sustainable excellence in organisations in Europe"* (EFQM, 2002).

Hart cited in Pitt (1999, p.51) stated that the EFQM Excellence Model was underdeveloped for public sector use. For example, emphasis was placed on return on investment, shareholder share value and other investment criteria without addressing the National Health Service principles of equity, fairness and access to services.

In 1996 a Public and Voluntary Sector version of the EFQM Excellence Model was introduced and incorporated into the award structure. The first recognition (in the form of prize-winners) for Public Sector Organisations was given in 1998, although no awards were presented in this category. The changes contained within the Public and Voluntary Sector version of the EFQM Excellence Model are relatively small which are generally in the suggestions for *areas to address* (Jackson, 2001).

Criteria Differences

1 Leadership

None.

2 Policy and Strategy

2a Defines the shareholder as 'owning stakeholders' (ie the government or governing body).

2b Uses the term comparator in addition to competitor to highlight that often in the public sector there is no competition.

2c Uses the term 'capacity to take advantage of opportunities' in addition to competitive advantage.

3 People

3e Identifies that aligning remuneration, redeployment etc will be 'within the bounds of Government or governing body policies'.

4 Partnerships and Resources

None

5 Processes

5c Includes other stakeholders as well as customers in the context of determining needs and expectations.

5d Adds promoting to the selling of products and services.

5e Uses the term 'product and service delivery and servicing' in terms of follow-up on customer relationships.

6 Customer Results

6a Some additions to perceptions measures:

Overall image: fairness, courtesy and understanding. *Products and services*: relevance of product or service. *After sales service*: becomes product or service aftercare. *Loyalty*: Intention to use the product again, willingness to use and willingness to commend are added.

6b Some additions to performance indicators:

Products and services: value for money and performance against customer-based objectives. *After sales service:* becomes product or service support and aftercare. *Loyalty:* includes number of commendations and number of lost services.

7 People Results

None.

8 Society Results

None.

9 Key Performance

***9a** Financial outcomes* become:

Results- meeting of budgets

- audited accounts including income, grants and expenditure items

- investment returns surplus/profit

Non-financial outcomes become:

- market share;- time to introduce new products and services;- volumes;- success rates as defined by the vision and mission- compliance with legislation and codes of practice results.

(EFQM, 2003b)

It can be seen from the above that the differences in the Public and Voluntary Sector version of the EFQM Excellence Model are in terminology and language which has been changed to suit the operating context of this type of organisation. Oakland (1999, p.108) states:

"It may be necessary to assess the status of the language to be used before launching a self-assessment process. If recipients are not familiar with certain language, many propositions will be meaningless".

This begs the question of whether a similar change in terminology and language might be useful in the HE context. This is an issue to be explored in the fieldwork.

In the words of EFQM:

"The EFQM Excellence Model does not seek to assess the 'quality' or 'excellence' of political policies, but rather the management of excellence within organisations" (EFQM, 2003a).

The first winner of the Public Sector Award of the European Quality Award was the Inland Revenue, Accounts Office Cumbernauld in 2000 (EFQM, 2003a). Table 2.1 shows previous prize and award winners for the EFQM Public Sector Category.

The adoption of Excellence within the Public Sector has been especially publicised within the healthcare sector. Jackson (1999), Stahr (2001), Train & Williams (2000), Nabitz & Klazinga (1999), Naylor (1999), Dunn & Mathews (2001) and Downey-Ennis & Harrington (2002) all

discuss the use of the Excellence Model within health and social care environments.

1998
• (No Award winner)
• AVE (A division of RENFE) (Prize Winner)
• Inland Revenue Cumbernauld (Prize Winner)
1999
• (No Award or Prize winners)
2000
• Inland Revenue, Accounts Office Cumbernauld (Award Winner)
• Arbejdsformidlingen - Ringkoebing AMT (Prize Winner)
• Foxdenton School and Integrated Nursery (Prize Winner)
2001
• St. Mary's College Northern Ireland (Award Winner)
2002
• Customs and Tax Region Aarhus, Denmark (Prize Winner)
2003
• Runshaw College (Award Winner) • Kocaeli Chamber of Industry (Prize Winner)

Table 2.1 EFQM Public Sector Award and Prize Winners (EFQM, 2004)

According to PriceWaterhouseCoopers (2000), the public sector in Europe is taking longer than the private sector to adopt the EFQM Excellence Model, mainly because of the cultural divide between private and public sectors combined with the view that the EFQM Excellence Model is perceived by European public services as a private sector tool. Their UK based research indicated the opposite view and this was put down to the growth of public-private partnerships in recent years and that traditional ideas of quality and improvement are mainly derived from Anglo-Saxon culture and these have not filtered as significantly into the European public sector that is uncomfortable with notions of competitiveness and business-like behaviour.

The author has two observations to report on this point: Firstly, that as a member of the EFQM's Education Community of Practice, the author has seen a high take-up in the use of the EFQM Excellence Model in this section of the European public sector in the last two years (2001 - 2003), i.e. since PriceWaterhouseCoopers' research, and secondly the issue of the European public sector being uncomfortable with the notions of competitiveness and business-like behaviour that is raised by PriceWaterhouseCoopers. Davies et al (2001) argued that staff in UK HE are equally uncomfortable with these notions.

In April 1999 a revised version of the EFQM Excellence Model was published after a lengthy and detailed consultation and testing process. Significantly for the public sector, the word 'business' was dropped from the title and 'business results' became 'key performance results' (de Dommartin, 2000).

The EFQM Excellence Model was 'refreshed' in 2003 (shown in appendix 1). The headline concepts have remained unchanged with the exception of Public Responsibility that has become Corporate Social Responsibility. There have been a number of changes at the sub-criteria and guidance points levels. The main changes have been the explicit inclusion of a fifth sub-criterion to Leadership, 'Leaders identify and champion organisational change' and the reduction from five to four sub-criteria in Policy and Strategy. The elements of the fifth sub-criteria have moved partly to Leadership and partly to Processes (EFQM, 2003c; Coles, 2003).

2.4 The Actual and Suggested uses of the EFQM Excellence Model in Sectors other than the United Kingdom Higher Education

Clearly, as can be seen above, the main use of the EFQM Excellence model is to carry out self-assessment with the aim of identifying strengths and areas for improvement in an organisation. A review of the literature, however, shows that there are a number of other possible uses for the EFQM Excellence model. These are its uses as a strategic tool, a means of providing a holistic, broader view of the business, a tool for performance management, a benchmarking tool, a means of integrating other quality and management initiatives and tools, a means of gaining a quality award and its use to motivate staff to get involved in quality improvement activities. Some of these suggested uses enjoy widespread support whilst others provoke debate about their appropriateness.

2.4.1 The EFQM Excellence Model as a Strategic Tool

The use of the EFQM Excellence Model as a strategic tool and the use of the outputs of self-assessment as an integral part of business and strategic planning are topics that have provoked great debate and a wide range of, often, differing views amongst a host of academics and practitioners.

Many writers have strong views that the EFQM Excellence Model can be used as a strategic tool. Gadd (1995) describes how organisations can use self-assessment against the EFQM Excellence Model as a strategic tool to build process robustness and achieve integrated management. He notes that some organisations see the outputs of self-assessment as providing a strategic tool for high-level decision-making. Gadd (1995, p83) continues:

"Self-assessment using the EQA model is holistic, and takes an organization-wide view of the business. By focussing on business results and customer satisfaction, it takes a strategic perspective. Policy and strategy is an important element of the model, and is linked to all the other organizational enablers, including processes. Using self-assessment in this way clearly identifies how an organization's strategy shapes its business processes".

Porter et al (1998, p.2) state that:

"Self-assessment is a strategic business improvement tool. Managers at the highest level of the organisation lead most self-assessments. Commitment to improvement is demonstrated by senior managers' and directors' involvement in self-assessment activities".

The above view of Porter et al (1998) infers that the involvement of senior staff automatically makes the use of the EFQM Excellence Model strategic in nature. This does not necessarily follow and neither does the corollary of it, that the lack of senior involvement in self-assessment activities would mean that the use of the model was not strategic. However, the aspect of customer satisfaction providing a strategic perspective highlighted by Gadd is supported by Leonard & McAdam (2002b, p.47):

"One of the four key constructs that emerged at this stage was that some of the organisations considered their initial intent on applying TQM were "as a strong focus on the customer". This point of initial TQM application represents the most strategically important application of TQM".

It has already been identified earlier in the chapter that the EFQM Excellence Model is based on TQM principles therefore the above quote is appropriate in this context.

Lewis (1999) describes the use of a variant of the EFQM Excellence Model (called TSE and described earlier in section 2.2.3) in a Local Authority. TSE is described as a valuable programme to establish strategic management. PriceWaterhouseCoopers (2000) report that 88% of public sector organisations in their large survey perceived that the EFQM Excellence Model helped them to improve their strategic management thinking. Jeanes (2000) sees that organisations are making the model central to their strategic thinking, business planning and daily operation. This view gives the EFQM Excellence Model both strategic and operational uses. This is supported by Awkati (2000) who reports on the use of the EFQM Excellence Model in social services departments. He identifies an increasing use of the model to support strategic and operational activities.

Ghobadian & Woo (1996) argue that strategic positioning is missing from the model. Leonard & McAdam (2002b) state that the EFQM Excellence Model criteria concerned with policy and strategy do not focus on corporate strategy formulation or how dynamic the strategy planning is, rather they consider how aspects of TQM have been incorporated in the strategic processes. Obviously Ghobadian and Woo must have referenced the 1991 version of the EFQM Model, as it was not revised until 1999. Leonard & McAdam must have also been referring to the 1991 version of the EFQM Excellence Model (supported by their reference to the 'Business Excellence Model' rather than the 'Excellence Model') in which sub-criterion 2(a) of Policy and Strategy was 'How the policy and strategy are formulated on the concept of total quality' (Porter & Tanner, 1996). So their research must have taken place before the 1999 version of the EFQM Excellence Model had been published and demonstrates the long lead times for publication in

some journals. Ghobadian & Woo's view would have been fair on examination of the 1991 model Policy and Strategy sub-criteria. Leonard & McAdam's (2002b) criticisms appear to have been addressed on inspection of the 1999 version of the model (EFQM, 1999) and the subsequent 2003 refreshment (EFQM, 2003c) as both versions make only very minor references to TQM or Excellence concepts within the policy and strategy sub-criteria. The major emphasis is clearly on policy and strategy development, deployment and communication as can be seen from inspection of the sub-criteria for Policy and Strategy in appendix 1.

Leonard & McAdam (2002a) conclude, from a survey of literature, that the EFQM Excellence model's role is not primarily at a strategic level but rather at a tactical level, co-ordinating between the strategic goals and the activities which will achieve them. Again, this probably reveals that they were referring to the EFQM Excellence Model Policy and Strategy sub-criteria from the original 1991 version rather than the revised 1999 version. Leonard & McAdam (2002a) also see that the use of the EFQM Excellence Model as a model for corporate strategy is undermined by the fact that it is updated every two years and so it is essentially one to two years out of date when used. They go on to say that if companies are using it as a leading edge model for strategic and dynamic purposes then they are actually somewhat dated. However the issue of the model being out of date is one that applies to any model purporting to be strategic in nature. The EFQM Excellence Model is updated every four years or so and the fact that it has changed little over the last twelve years would indicate that it would have provided a reasonable degree of consistency to any organisation using it as a basis for its strategy. In the fieldwork of this same piece of research Leonard & McAdam (2002a) discovered that the EFQM Excellence Model was being used as a framework which provides an organisational overview to aid strategic planning. Leonard & McAdam (2002a, p.22) go on to conclude from the literature review and fieldwork:

"These management experiences set the use of the BEM within this organisation at a tactical level, a position at which it co-ordinates and guides the initiatives and activities to fulfil the corporate strategy".

So the exact use of the EFQM Excellence Model in the strategic area is not really clear. Leonard & McAdam's (2002a) results seem to indicate that some organisations have used the EFQM Excellence Model in a strategic way whilst others have not. Leonard & McAdam's research does not reveal the stage of maturity of the organisations in the use of the model although they were all national quality award applicants, which would suggest that they were reasonably mature users. It is possible that only highly mature users use the model strategically. Leonard & McAdam (2002a) highlighted one organisation that was using the model to provide the overview of the organisation for its plans but also the only method of assigning key processes or issues within its organisational context for strategic purposes. McAdam et al (2002), from a survey of 163 public service organisations, found that the use of the EFQM Excellence Model

has produced improvements in how they developed their strategy, business plans and key measures. This supports the view that there is some evidence to support the use of the EFQM Excellence Model as a strategic tool.

In addition to the reported direct use of the EFQM Excellence Model as a strategic tool, many researchers report the use of the outputs of self-assessment as an integral part of the business and strategic planning process within organisations. In this respect the model can be seen to provide a linkage between improvement activities in an organisation and strategic direction.

O'Brien & O'Hanlon (2000) report on a case study of EFQM Excellence Model use. The model was used to align process, team and individual goals with the organisation's strategic objectives. Conti (1997) is of the opinion that self-assessment can only realise its full value if it refers to the company's missions and goals as a whole and that self-assessment acquires a strategic value only if a prior link is established with strategic planning. Conti goes on to suggest that, since integration of self-assessment into the planning cycle is a lengthy procedure, companies may find it best to adopt a gradual step-by-step approach to integration. Gadd (1995) comments on the action plans arising out of self-assessment and sees their scope as being anything from a change in strategic direction, to a major process redesign, to some incremental improvements, depending on the findings of the assessment phase. His research revealed that improvement plans had been adopted as an integral part of the organisations' business plans. He gives the example of the 1994 EQA winners, D2D Ltd., who have built the EFQM Excellence Model into their normal business activities. Self-assessment outputs have become a key input to their strategic planning process. This example supports the view stated earlier, that strategic use of the model is likely to be limited to mature model users. McAdam & Welsh (2000) suggest that self-assessment can be a valuable input into the annual business planning cycle. They continue:

"In this way the organisation's strategic direction can perhaps reflect a more business-focused approach" (McAdam & Welsh, 2000, p.122).

Stahr (2001) reports that the agreed outcomes of reviews are used as a basis for the business planning system at Salford Royal Hospitals Trust. Leonard & McAdam (2002b) citing Livsey (1993) and Srinidi (1998) state that there is a natural necessity to align quality programmes with business strategy to ensure that quality efforts reflect the long-term goals of the organisation. However, Leonard & McAdam (2002b, p.49) continue:

"If TQM is replaced with the mechanised BEM, then the strategic dynamic issues of TQM will be lost. However, the application of the BEM, in many of the cases, was not seen as anything beyond assisting the process of improving the business and so represented only one element within the larger remit of strategic planning and formulation".

This acknowledges that the EFQM Excellence Model has a role to play in strategic planning. The CMPS Civil Service College Directorate (2002) indicates that the EFQM Excellence Model

provides a link between what the organisation needs to achieve and the strategies and processes needed to deliver its objectives. Tummala & Tang (1996) cite Garvin (1988) who particularly emphasised that quality planning must be integrated into the overall corporate strategic planning process of the organisation. Porter et al (1996) state that self-assessment ensures that business improvement activities are fully integrated with the organisation's strategies and plans. They suggest that self-assessment can provide strategic direction for the organisation and be a valuable input into the business planning process. This is supported by Pitt (1999) who describes the use of the EFQM Excellence Model in the Wakefield and Pontefract Community Health National Health Service Trust (The Trust). The Trust has adopted the model both as an assessment tool and as a format for many of its documents. For example, the Strategic Direction, Business Plan and Corporate and Director Objectives all make use of the format. Improvement opportunities are fed into the business planning cycle and the process of self-assessment using the EFQM Excellence Model is being developed as part of the business planning cycle. The outputs of self-assessment are one of four main inputs into the business planning process at the Trust along with Market Information, Purchaser Intentions and Service Initiatives.

Lewis (1999) reports that in Southwark Council, with a few exceptions, departments all have difficulty in embedding the assessment processes into planning and review activity. Nevertheless, he states that TSE (their modification of the EFQM Excellence Model) is a valuable programme to establish strategic management and business planning in the council. Pitt (1999) also reports on difficulties in the timing of the self-assessment cycle and the objective setting cycle (as part of business planning) in the Trust when self-assessment was first undertaken, however this was rectified for subsequent cycles. PriceWaterhouseCoopers (2000) examined the issue of the integration of the EFQM Excellence Model into other business processes in public sector organisations. It was difficult to draw out conclusions from each sector as integration depends on the length of time that organisations have used the model, however 20% of local authorities believe that they have achieved total integration with their planning processes. This again concurs with the view that it is likely that only mature users of the model will have used it in a strategic manner.

It can be seen that the issue of the EFQM Excellence Model's use as a strategic tool has provoked a variety of arguments. To summarise, these arguments fall into three categories:

- That the EFQM Excellence Model can be used as a strategic planning model, however, despite some examples of its use in this way, there is no consensus on the model's appropriateness as a strategic planning model.
- That the outputs of self-assessment using the EFQM Excellence Model can be used as inputs to the strategy and business planning process. There is much evidence from case examples and surveys to support its use in this way.

- That the EFQM Excellence Model can be used as a means of operationalising strategy devised through other means.

It would appear from the literature that the organisations which are using the EFQM Excellence Model in a strategic manner are quite mature in their use of the model. As the case study organisations to be used in this research have all been using the EFQM Excellence Model for less than three years, it will be interesting to discover if there have been any attempts to use it in a strategic manner in these UK universities and, if so, how its use compares with the arguments put forward in the literature.

2.4.2 The EFQM Excellence Model as a means of providing a Holistic, broader perspective of the business

Some researchers have reported the EFQM Excellence Model being used to provide a holistic, broader perspective of the business.

"By providing a holistic view of the organization, the model can provide a framework by which managers can develop a broader perspective of the business and its operating environment" (Gadd, 1995, p.73).

In research by Leonard & McAdam (2002a), managers described the EFQM Excellence Model as a framework that assists in providing a conceptual framework to overview the organisation and the "issues" through which business improvement can be structured. Gadd (1995, p.83) concludes:

"By focusing on the organization as a whole, managers have gained an understanding of how the business knits together, and how all the various divisions, functions and departments integrate. By working with managers from other functions, they form integrated management teams, looking across the organization and gaining a holistic perspective of the business".

Chapman (2000) describes an organisation which adopted the EFQM Excellence Model specifically to improve staff understanding of the business processes and involvement at all levels in the decision-making process, including better two-way communication.

There is some evidence in the literature therefore that the EFQM Excellence Model can be used to provide this holistic, broader overview of the organisation. It will be interesting to explore whether this is a use that the model has been put to in the case study organisations.

2.4.3 The EFQM Excellence Model as a tool for Performance Management

Several authors report on the EFQM Excellence model being used as a tool for performance management.

Lewis (1999, p.11) describes the use of the TSE ('Towards Service Excellence') framework, which is based on the EFQM Excellence Model, at Southwark Council:

"TSE can provide an overall assessment of performance which before had been no more than a compilation of data and information collected in an inconsistent format".

The CMPS Civil Service College Directorate (2002) point out that the government has a strategic and operational agenda for the public sector which requires organisations to move more deeply into a performance management culture. They report that many organisations are using the EFQM Excellence model as the overarching framework to help them achieve a "joined up" performance management strategy (based on PriceWaterhouseCoopers, 2000). Leonard & McAdam (2002a) conducted an in-depth study of 19 large organisations, which were using the EFQM Excellence model and had participated in national quality awards. They concluded that self-assessment helps to focus on performance and so highlights changes and acts as a monitor of the organisation. Stahr (2001) reports that Salford Royal Hospitals Trust use the outcomes of reviews as a basis for the ongoing management board performance-monitoring arrangements. Chapman (2000) reports that the NICO Insolvency Group adopted the EFQM Excellence Model specifically to develop measures of performance that gauge effectiveness rather than focus on processing volumes or accuracy. Research by Leonard & McAdam (2002a) demonstrated that the EFQM Excellence Model incorporates a comprehensive set of performance measures, beyond simply that of financial measures. Such a scope in performance measurement helps in representing the role and purpose of public sector organisations.

PriceWaterhouseCoopers (2000, p.6) found, however, that the EFQM Excellence Model was not viewed as a performance-measuring tool:

"Most organisations saw benefits in using the Excellence Model and its main value was seen as an improvement diagnostic rather than as a scoring or performance measuring device".

This view seems to be counteracted in the same piece of research as 85% of the 3500 public sector organisations surveyed believed that the EFQM Excellence Model helped them achieve sustained levels of performance.

It can be seen that, according to the majority of literature reviewed, the EFQM Excellence model provides a framework for performance management in organisations. The 'results' criteria of the model provide a means for organisations to set targets and monitor progress against those targets, thus effecting performance management. The RADAR Logic described earlier (section 2.2.2) would appear to be particularly useful in this because of the emphasis on setting objectives and assessing and reviewing progress against these objectives.

2.4.4 The EFQM Excellence Model as a Benchmarking Tool

A number of authors suggest that the EFQM Excellence model lends itself for use as a benchmarking tool. Lewis (1999) describes the TSE framework used at Southwark Council (see

above) and the inclusion of a set of benchmarks enabling comparison and external assessment. Chapman (2000) examines the implementation of the EFQM Excellence Model in two organisations who both combined self-assessment with benchmarking (using the EFQM Excellence Model as a framework) to help to identify the key objectives for improvement within their respective organisations. Subsequently, benchmarking has been used to monitor progress towards these defined objectives. Ghobadian & Woo (1996) suggest that the EFQM Excellence Model provides organisations with a temporal or sectoral benchmarking tool and a vehicle for sharing experience and good practices. Porter & Tanner (1996, p.164) describe research carried out by the Bristol Quality Centre in 1993:

"Self-assessment enables positive comparisons to be made between departments, divisions and externally against other organizations in a learning culture. This activity can help to discover overlooked strengths or areas for improvement and can identify best practices".

Gadd (1995, p.82) is an enthusiastic supporter of the use of the EFQM Excellence Model as a benchmarking tool:

"By providing a common framework, and a scoring mechanism, by which to make comparisons, the EQA model provides organisations with a benchmarking tool. The award process identifies best-in-class organizations for each element, and so an organization can see, as soon as it has completed a self-assessment to the EQA model, how its scores compare with those achieved by the best. This identifies the size of the performance gap, and points the organization in the direction of particular elements".

Gadd may have oversimplified the process of benchmarking and the EFQM Excellence Model's use in this process. Firstly, a comparison of scores on any element of the model is not necessarily useful. For example, two organisations may achieve similar scores through quite different mixes of strengths and areas for improvement. This won't immediately help to guide improvement activities, unless there is an opportunity to discover the reasons why the scores were achieved. This view is supported by PriceWaterhouseCoopers (2000) who see value in benchmarking provided that the focus is placed on areas for improvement rather than scoring. The same piece of research also reports that by far the most common forms of benchmarking adopted by organisations in the public sector are either process benchmarking or best practice comparisons. Secondly, the score assessed by inexperienced assessors within an organisation just starting out is unlikely to make for an equitable comparison with the score arrived at by an organisation being assessed for a European Quality Award assessed by experienced assessors (Porter & Tanner, 1996).

The CMPS Civil Service College Directorate (2002) says that the EFQM Excellence Model provides opportunities to promote and share excellence approaches within different areas of the organisation and with other organisations, in other words an opportunity for benchmarking. Leonard & McAdam (2002a) conducted research with 19 organisations and found that most of

those organisations see the use of the model as an opportunity to assess itself and benchmark itself.

In summary, the EFQM Excellence Model provides a common framework which facilitates benchmarking provided that the emphasis is on comparing and contrasting strengths and areas for improvement and not on a simplistic comparison of scores.

2.4.5 The EFQM Excellence Model as a framework for integrating other quality and management initiatives and tools

A large number of authors support the use of the EFQM Excellence Model as a framework for integrating a host of other quality and management initiatives and tools. Some authors also see the model as providing a framework with which organisations can select appropriate initiatives and tools to aid them in their drive towards excellence.

The results of a survey by PriceWaterhouseCoopers (2000) commissioned by the Cabinet Office revealed that 85% of 3,500 public sector organisations surveyed saw the EFQM Excellence Model helping them to link together key policies and initiatives. The Civil Service College Directorate (2002) suggests that the EFQM Excellence Model provides a means to integrate various quality initiatives into normal business operations. Research by McAdam et al (2002) found that the EFQM Excellence Model was seen as an overall integrative quality framework. This integrative framework was found to be particularly attractive in the public sector context as it integrates the many, sometimes disparate, improvement initiatives within the public sector. This view is supported by Jackson (1999) who suggests that one of the reasons that the UK Government had commended the use of the EFQM Excellence Model to all organisations within the National Health Service was that it has the ability to incorporate a number of initiatives already being applied, like ISO 9000 and Investors in People. Jackson (1999, p.252) continues:

"Hence, the model does not need to be seen as an add-on, rather it can be viewed as an overarching framework which will bring all the ongoing activities together".

Shergold & Reed (1996) state that self-assessment using the EFQM Excellence Model provides a way to integrate various quality initiatives into normal business operations. McAdam & Welsh (2000) identified that self-assessment encourages the integration of a range of quality initiatives which may have been separately pursued across an organisation. McAdam & Welsh (2000, p.122) conclude:

"The process therefore also combats "initiative fatigue" because it shows how they fit together for the overall benefit of the organisation".

Jeanes (2000, p.25) is a strong advocate of the EFQM Excellence Model's use as an integrative framework:

"Some of the best-known and most widely-used initiatives and tools can be mapped on to the model. Faced with so many tools and techniques, the model can be useful in several ways. It can help an organisation see where the impact of a particular initiative should be felt. Where an organisation has identified areas for improvement, it can then use the model to select the appropriate initiatives to achieve them".

The importance of the second part of Jeanes' point is noted. The model can be used as an aid in the selection of future initiatives for improvement and not just as a means of mapping current initiatives.

O'Brien & O'Hanlon (2000) report on a case study of EFQM Excellence Model implementation. The company had implemented many quality initiatives, e.g. SPC, quality circles, ISO 9001 and QS-9000, although it had been difficult to link these initiatives within a single business framework and transferring ownership from the Quality Department to the business as a whole was proving a very slow process. The company chose the EFQM Excellence Model as a means of overcoming these difficulties. Leonard & McAdam (2002a) suggest that the EFQM Excellence Model has provided managers with a much needed framework to conceptually place the wide range of improvement tools, techniques and certified systems from ISO9000 to Investors in People to environmental standards. Awkati (2000, p.27) reports on the use of the EFQM Excellence Model within Social Services:

"The social work environment is saturated with initiatives, such as 'quality protects', 'national assessment framework', 'foster care standards', etc. To overcome this hurdle it is essential that the model be conveyed as a system which helps the practitioner tackle these initiatives, rather than a system that sits alongside them".

Lewis (1999) reports on the use of a customised variant of the EFQM Excellence Model called TSE (described in section 2.2.3) in a local authority. Here the model was used as a strategic framework for individual quality initiatives so that they lead to the same objective. Downey-Ennis & Harrington (2002) claim that a major strength of the EFQM Excellence Model is that it is able to sit comfortably within the organisation and accommodate the many initiatives currently under way within the healthcare sector.

In summary, the EFQM Excellence model provides a means for both mapping the areas of impact within an organisation of various quality and management initiatives and tools and selecting initiatives in a proactive way to support the development of areas for improvement.

2.4.6 The EFQM Excellence Model as a means of gaining a Quality Award

Although one of the main reasons that the founder members of the EFQM had for developing the model originally was to provide the basis for an awards process, very few authors give any emphasis to the use of the EFQM Excellence Model as a means for gaining an award.

Porter & Tanner (1996) describe the objective of the European Quality Awards as being to recognize top quality performances of organisations. They state that winning awards will usually enhance the image and reputation of the organisation. In addition to the European awards there are now national and regional awards based on the EFQM Excellence Model. Gadd (1995) suggests that the preparation of an award submission document can be a useful way of gaining a comprehensive assessment of an organisation, although the preparation of the document is a lengthy and time-consuming process. Porter et al (1998), having surveyed 215 organisations and developed 36 in-depth case studies, concluded that winning an award is the least important reason for using the EFQM Excellence Model. The CMPS Civil Service College Directorate (2002) suggests that the EFQM Excellence Model provides opportunities to recognise both progress and outstanding levels of achievement through internal awards. The author would advise caution with this use of the use of the model, because of the potential effect on the behavior of staff within organisations. Samuelsson & Nilsson (2002) reported on a case in which a company had previously used scoring as a base for an internal quality award to motivate people. However the competition was cancelled since it caused the focus to shift to collecting scores rather than improving performance.

Perhaps it is not so surprising that few authors suggest that the EFQM Excellence Model should be used to apply for a quality award. Although it is difficult to quantify the numbers of organisations using the EFQM Excellence Model, it is clear from much of the literature reviewed in this chapter that this must now run into many thousands. Only a relative handful of organisations apply for a quality award in any particular year (EFQM, 2003b). This would suggest either that the organisations do not consider themselves ready to apply for an award or that they are using the EFQM Excellence model for other purposes rather than as a means for applying for a quality award.

2.4.7 The EFQM Excellence Model as a means of motivating staff to get involved in Quality Improvement activities

Some commentators view the EFQM Excellence Model as a tool for increasing staff involvement in quality improvement activities within organisations.

An extensive survey by Coulambidou & Dale (1995) revealed the major reasons that organisations gave for justifying their continuing with self-assessment. One of the major reasons

was that it provided new motivation for the quality improvement process. Hillman (1994) sees that self-assessment can be used to increase the involvement of staff enabling everyone to contribute to the assessment process, thereby bringing ownership of the results and proposed actions, enabling staff to see the impact of their improvement efforts and enabling senior managers to drive the improvement process and to empower their staff to exercise initiative at their own level. Porter & Tanner (1996) suggest that self-assessment helps to motivate people and gives a fresh impetus to business improvement programmes. Porter et al (1998, p.2) are strong proponents of the use of self-assessment as a means of involving staff:

"Self-assessment is a team activity, which engages team members in focused continuous improvement. Organisations find that one of the key benefits of their approach to self-assessment is the development of the people involved".

Gadd (1995, p.82) states that:

"Self-assessment encourages an ethos of continuous process improvement, and involves senior management in this process".

The CMPS Civil Service College Directorate (2002) identify that using the EFQM Excellence Model for self-assessment provides a means to create enthusiasm amongst the people within the organisation, involve them in the improvement process and give fresh impetus to their pursuit of business excellence. Lewis (1999) provides a specific example of this in Southwark Council where TSE (their version of the EFQM Excellence Model) was used to ensure employee involvement. Chapman (2000) provides two further examples, one from a service organisation who involved staff at all levels in the process of self-assessment and a second from a public sector organisation which adopted the EFQM Excellence Model specifically to improve staff understanding of the business processes and improve involvement at all levels in the decision-making process.

It can be seen from the above that the EFQM Excellence Model is often used to motivate staff to get involved in quality improvement activities and can be used to reinvigorate improvement initiatives that have started to lose momentum.

2.5 Chapter Summary

This chapter has addressed three main topics. The content of the EFQM Excellence Model, the development of the model and its uses in addition to its main use as a means to carry out self-assessment with the aim of identifying strengths and areas for improvement in an organisation.

The EFQM Excellence Model is a non-prescriptive framework based on nine criteria. The model is underpinned by a number of fundamental TQM concepts and uses the process of self-assessment against the model's criteria to identify strengths and areas for improvement in organisations. There are a number of different approaches to the process of self-assessment and

these are supported by a technique known as RADAR Logic. There are advantages and drawbacks in the use of each of the approaches to self-assessment. It is for each organisation to decide which approach best suits their needs having balanced off the level of detail of the assessment against the time and resources required to produce it. Another possible output of the self-assessment process is a score out of 1000 points, which gives an indication of the degree of excellence of an organisation. There are advantages and disadvantages to using the scoring element of self-assessment and the decisions of whether to use scoring as part of self-assessment and subsequently what purposes the scores should be used for are significant for organisations as they can impact on organisational behaviour. Thus the outcomes of this chapter have partly contributed to the achievement of the objective: *To identify the issues that impact on the implementation of the European Foundation for Quality Management's (EFQM) Excellence Model in the UK University academic environment.*

A review of the literature, shows that there are a number of other possible uses for the EFQM Excellence Model other than for self-assessment. These are its use as a strategic tool, its use as a means of providing a holistic, broader view of the business, its use as a tool for performance management, its use as a benchmarking tool, its use as a means of integrating other quality and management initiatives and tools, its use in gaining a quality award and as a means of motivating staff to get involved in Quality Improvement activities. Some of these suggested uses enjoy widespread support whilst others provoke debate about their appropriateness. Thus the objective: *To assess the effectiveness of the implementation of the EFQM Excellence Model in the case study organisations* has partly been achieved.

The main issues that have emerged from this chapter of the literature review that will be included in the theoretical framework (chapter 4) and then investigated in the fieldwork are:

- Whether the EFQM Excellence Model has been applied throughout all departments in the universities at once or if a phased approach has been designed whereby some departments have applied it before others.
- Which self-assessment approach has been chosen by each university and why.
- Whether RADAR Logic has been used as part of self-assessment in the universities.
- Whether scoring has been used as part of self-assessment in the universities and, if scoring has been used, if the weightings have been amended and for what purposes the scores have been used.
- Whether some of the language or terminology in the EFQM Excellence Model has been altered in the universities to fit better with the HE environment.
- To confirm whether the UK universities are using the EFQM Excellence Model in its expected primary role of a model for self-assessment.
- To discover if the EFQM Excellence Model is being used for other purposes as described in this chapter.

CHAPTER 3

LITERATURE REVIEW

ISSUES IMPACTING ON THE EFFECTIVE IMPLEMENTATION OF THE EFQM EXCELLENCE MODEL IN UK UNIVERSITY ACADEMIC UNITS

3.0 Chapter Introduction

The aim of the literature review is to ensure that issues pertinent to the aim and objectives of the research are identified in order that the aim and objectives can be effectively pursued in the fieldwork element of the research. Specifically the objective: *To identify the issues that impact on the implementation of the European Foundation for Quality Management's (EFQM) Excellence Model in the UK University academic environment* will be addressed. This literature review was conducted to determine what research had already been done in the area in order to identify the issues around implementation that needed to be included in the theoretical framework and then explored in the subsequent fieldwork. Brunetto (2001, p.468), commenting on implementation research, concludes that:

"The discipline has to date failed to develop a unified theoretical framework".

This literature review synthesises and integrates knowledge of the UK University environment, generic knowledge on the implementation of TQM programmes and specific knowledge on the implementation of the EFQM Excellence Model.

A matrix was used to capture the issues cross-referenced against the source. This matrix was then used to identify the most frequent issues affecting implementation that had surfaced from the literature and as a means to structure this chapter.

The issues and sub-issues revealed by this literature review are discussed and analysed below.

3.1 Motive

Wells (2001, p.5) states:

"Be clear about why you want it [the EFQM Excellence Model]"

Ritchie & Dale (2000, p.245) advise that:

"An organisation needs to question why it employs self-assessment, what are the gains, and are they being realistic in their expectations of its output".

Chin & Pun (2002) emphasise the importance of the motivation for starting an improvement process whilst Vrakking (1995) argues for a good decision (or motive) to proceed with the implementation of an innovation, as not having support for this initial decision results in a lack of support and consequent difficulties with the implementation. Tan (1997) argues that most organisations find it hard to install TQM because of a lack of conviction that TQM works. Melan (1998) identifies having an established need as a primary reason for TQM success and Thiagaragan et al (2001) identify that a critical prerequisite to developing the necessary commitment is a clear belief in the benefits of TQM, i.e. a clear motive. Motwani & Kumar (1997) argue that there is a decision phase in implementing TQM, which includes having a clear

understanding of why the institution is implementing TQM. Ovretveit (see Jackson 2001, p.158) concurs with this and states that it is imperative that organisations determine the reason for using their chosen quality management tool before they begin using it. McCunn (1998) writes about the implementation of the Balanced Scorecard and recommends that implementation should not start unless an organisation knows what it hopes to achieve. In other words, there is a clear motive. Clearly, the same can be said for the EFQM Excellence Model. Sullivan-Taylor & Wilson (1996) examined TQM implementation in New Zealand service organisations and found that each one had its own unique rationale or motive for implementing TQM.

McAdam & Welsh (2000) conducted a survey of further education colleges using the EFQM Excellence Model in Northern Ireland and found that the three main motives for implementing quality management were the need to enhance customer satisfaction, the need to achieve competitive edge/improve market share and the need to prepare for an externally-assessed inspection. Lewis (1999) describes the difficulty of sustaining motivation for the use of self-assessment in a local government case study whilst Poirier & Tokarz (1996) examine the issue of the motivation for implementing TQM. They suggest that the key questions to ask are "Why" and "Who". "Why" is important as it describes the real reason for implementing TQM, e.g. survival of the organisation. They argue that external motivators such as survival and customer pressure are the strongest, most sustainable motivating reasons. Bardoel & Sohal (1999) found, in a study of seven Australian organisations that had implemented TQM, that the most common reason for embarking on TQM was due to external forces. Van der Wiele et al (2000) disagree with this view. Their research concludes that if self-assessment is externally forced, then little performance improvement is perceived, however if there is internal motivation to improve the organisation then self-assessment can become established and performance improvement follows. They argue that gaining a sufficient number of motivated people to take the implementation forward will be difficult in situations where the motivation to change comes largely from outside. Van der Wiele et al's (1996) survey of EFQM members revealed that the top five motives for undertaking self-assessment were all internal issues and that those companies which start self-assessment activities for internal reasons give more attention to the development of an improvement plan than those motivated by external issues. Chapman (2000) describes two cases of EFQM Excellence Model implementation. In both cases the organisations had clear internal motives for selecting the EFQM Excellence Model at the outset. In Charlesworth's (2000) survey of 609 Institute of Management members, the motives for implementing various performance improvement initiatives were examined. About two thirds of the motives stated were related to external pressures with only a third of the motives being located internally to the companies. Zink & Voss (1998) describe a case of EFQM implementation in a German university and identify a mixture of internal and external motives for introducing quality management tools.

"Who" is motivated to implement TQM is the other important factor and Poirier & Tokarz (1996) argue that the senior management needs to provide this drive. In terms of "who" is motivated to implement the EFQM Excellence Model it is clear from the literature that the senior management need to be committed to this. This is discussed in detail in section 3.2.

Clearly it is important for an organisation to have a clear motive for implementing the EFQM Excellence Model, however there is disagreement on whether internal or external forces provide the more effective motives. On balance, it would appear that internal motives are the most powerful.

3.1.1 Objectives and Expected Benefits

Ryan (1996) emphasises that, to implement any programme, a key condition is clarity of programme objectives. Samuelsson & Nilsson (2002) argue that the purpose and underlying objectives of self-assessment have to be clear to everyone involved.

One of the barriers to TQM implementation described in much of the literature is that of short-termism with regards to the expected timescales in which objectives will be met and benefits achieved. Mersha (1997) identifies that an expectation of quick results is one of the factors that results in the failure of TQM implementations. Michael et al (1997) found that people who become involved with TQM expect to see results immediately, and this is usually not the case. Longenecker & Scazzero (see Melan 1998, p.132) identified the demand for immediate results as one of the main inhibitors to TQM. Atkinson (1990) states that TQM will not produce results in the short term and Sullivan-Taylor & Wilson (1996) argue that many TQM implementations result in premature abandonment as short-term pressures eclipse longer-term issues. A research project conducted in 1996 by the London and Manchester Business School (see McAdam and Welsh 2000, p.123) highlighted that the majority of respondents believed that a gap of at least four years was required between the introduction of self-assessment and benefit realisation. Munro-Faure and Munro-Faure (1992) support this view and emphasise that it is important not to set unrealistic expectations for the programme over short periods of time. Harvey (1995) observes that TQM is viewed by new users as a 'quick fix'. He goes on to say that the TQM literature clearly indicates that implementation is not a rapid process, that it involves a change of culture and that the impact is long-term. Munro-Faure & Munro-Faure (1994, p.254) argue that: *"Quality Improvement will take years, not just one quarter".*

More specifically, in relation to the EFQM Excellence Model, the Cabinet Office (2001) warns not to expect quick fixes as the process is about continuous improvement.

So clear objectives and expected benefits for EFQM Excellence Model use need to be in place over the medium to long term and an evaluation of whether the expected benefits are being achieved should be carried out. Any expectation of short term benefits being realised is likely to be unrealistic and hinder progress with the EFQM implementation.

3.2 Gaining Senior Management Commitment

The topic of gaining senior management commitment to the implementation of quality initiatives is one that appears in almost all texts and papers dealing with the issue of implementation. Ryan (1996) emphasises that, to implement any programme, the commitment of management is a key condition for effective implementation. Thiagarajan & Zairi (1997) argue that it is critical that the senior management build the requisite commitment to implementing TQM before getting the rest of the staff involved. Thiagarajan & Zairi (1997, p.270) continue that:

"Top management commitment to the quality process and their leadership in fostering an environment where quality is a way of life sets the foundation for the implementation of TQM in an organization".

Spector & Beer (1994, p.65) propose a sequence of steps for the successful implementation of TQM and other related quality improvement efforts. They stress the need to develop a shared commitment in the top management team to quality improvement thus:

"The next step is certainly the most vital and, in our experience, the most difficult. It is the step that most significantly differentiates success from failure. At this stage, top management as a team must engage in an analytic and diagnostic process that commits them to quality improvement as the key strategic task".

The EFQM Excellence Model self-assessment process is such an analytic and diagnostic process and this was described in chapter 2. Thus the author proposes that EFQM Excellence Model self-assessment can fulfil Spector & Beer's vital step. Spector & Beer (1994) go on to say that, although gaining the commitment of the top management team is so vital, it is often breached because of the difficulties in getting top managers to operate as a team and, in particular, to set aside functional and divisional differences on behalf of a cohesive, holistic view of the organisation. They warn not to confuse top management compliance with top management commitment.

Hillman (1994) argues that successful self-assessment starts with senior management commitment. Helms et al (2001) report that a lack of top level support has hindered quality efforts in higher education whilst in research with ten organisations using the EFQM Excellence Model, Ritchie & Dale (2000) identified that one of the main difficulties experienced was a lack of commitment at all levels. Cullen & Hollingum (1987, p.176) argue that:

"Without top management commitment any attempt to introduce Total Quality is a waste of time and effort".

Dale et al (see Taylor & Hill 1992, p.6) stress that top management commitment is vital for the credibility, continuity and longevity of TQM initiatives. Sufficient and authoritative support proved to be a necessary condition for advantageous continuous improvement implementation (Savolainen, 1999). Buch & Rivers (2001) indicate that leadership is crucial to implementing TQM and Kumar & Douglas (2002) state that top management's commitment to participate and provide resources for implementation are preconditions for self-assessment. The Cabinet Office (2001) report lessons from users of the EFQM Excellence Model in the public sector, one of which is that an organisation will not succeed without senior management commitment. Melan (1998) explored two cases of TQM implementation and found support for the contention that one of the four causes of failure is lack of management commitment. Charlesworth (2000) conducted a survey of 609 Institute of Management members and 30 per cent identified lack of Board/top management, as one of the main barriers to the implementation of performance improvement initiatives. Bertram (see Thiagarajan & Zairi 1997, p.271) states that a lack of requisite management commitment is the main reason for 80 per cent of TQM failures.

Shergold & Reed (1996) are of the opinion that developing the commitment of the leaders to the use of the EFQM Excellence Model and self-assessment is a key early stage in the implementation process. Pupius (2002) maintains that Vice Chancellor and senior management leadership commitment, drive and ownership is essential in EFQM Excellence Model implementation in higher education. Oakland (2000) describes the implementation of TQM at the University of Bradford Management Centre and indicates that the first phase of the programme was concerned with obtaining the commitment of the Professoriate and Executive Committee to the principles of TQM. This finding is supported by the work of Brunetto (2001) who investigated the introduction of quality initiatives in Australian universities and found that, for any change to happen, senior academics need to put pressure on the lecturers at the grass roots to change. She goes on to say that it was the senior academics who held the power to mediate to what extent implementation would occur. Specifically on the subject of self-assessment, Conti (1997, p.145) states that:

"The introduction of self-assessment into a company is too important an event to be delegated in full, even if the delegated company officer is a first-line manager (and therefore reports directly to top management). Ownership and control must be retained by top management".

This view is supported by Henderson et al (1999) who, in a case study of EFQM Excellence Model implementation in a utility company, identified ownership at executive level as a critical success factor. Pitt (1999) describes a case study of EFQM Excellence Model implementation in UK healthcare and argues that top-level commitment is critical to this pursuit. With reference to the implementation of business excellence in a German university, Zink & Voss (1998) state that leadership and management commitment is crucial for any major change. Koehler & Pankowski (1996) say that the first phase in implementing TQM is indoctrinating top

management. Stahr (2001) supports this and argues that coaching and building confidence in the use of the EFQM Excellence Model by senior staff before it is rolled out to other staff is critical to success. Samuelsson & Nilsson (2002) argue that when an approach to self-assessment is designed and a plan is established, strong commitment among middle and top management commitment needs to be demonstrated. Ho & Wearn (1996) developed a higher education TQM excellence (HETQMEX) model and recommend obtaining top management commitment if it is to be implemented successfully. Osseo-Asare Jr. & Longbottom (2002) from research in UK higher education, found some evidence to suggest that any attempt to introduce TQM and/or the EFQM Excellence Model without strong leadership and commitment from top and middle management would be strongly opposed at all levels of the HEI.

Elmuti et al (1996), in their investigation of TQM in United States Higher Education Institutions, found that one of the main mistakes made was not using senior administrators to drive the process. This is an interesting point as, in some Universities, the senior administrators are the only senior staff with permanent posts. Aly & Akpovi (2001) draw attention to the problem of changes in the leadership of TQM programmes or administration in American universities which led to many programmes being dropped. Engelberg (2000) raises the same concern of temporary leadership arrangements in universities and the potential for resulting superficial change. Harvey (1999) explains that most higher education institutions are characterised by either a collegiate structure in which lines of accountability are diffuse and often implicit, and where academic managers are often elected or a hierarchical structure in which lines of accountability are focused and explicit, and professional managers are appointed. This issue is also raised by Davies et al (2001) who point out that the academic management roles in pre-1992 UK universities are filled on a fixed term basis. Conversely, these roles in post-1992 UK universities are permanent appointments. Raanan (1998) highlights the problematic nature of management rotation for universities trying to implement TQM. His view is that management positions are often forced on staff who would rather be performing research or teaching activities. As a result, the academic managers in universities are not necessarily those that are best qualified for the job. In addition there is the problem of lack of continuity, with staff only holding posts for fixed periods of time.

Savolainen (1999) raises a very interesting point in relation to continuous improvement implementation in Finland. If advocates did not exist or support could not be found on the superior management level that was closest to the group implementing the initiative, then the efforts tended to be abandoned.

In conclusion, gaining senior management commitment to implementing the EFQM Excellence Model is clearly a crucial step in the process and one that needs to take place at the outset before

involving other employees. There is much evidence that failure to secure this senior management commitment leads to failures in implementation. This is further complicated in some universities by the issue of fixed-term roles for academic managers.

3.3 Preparation

The literature review revealed the importance of preparation to the implementation process. Poirier & Tokarz (1996) report that managers are impatient and want to dive headfirst into implementation. Without adequate preparation, they report that results will be slowed dramatically and much time and effort will be expended to fix the process.

The literature reveals a number of issues that should be dealt with at the preparatory stage of implementation which are reviewed below.

3.3.1 Resistance to Change

Ryan (1996) indicates that the capacity of programmes to be effectively implemented may be limited by constraints including the extent of behavioural change required. Dale et al (2000) explain that there are often difficulties with the introduction of TQM stemming from resistance to change and Tan (1997) argues that most organisations find it hard to install TQM because of resistance to change. Motwani & Kumar (1997) indicate that there is considerable scepticism regarding the use of TQM in educational institutions and that one of the reasons for this scepticism is a lack of acceptance of the need for change. Jenkins et al (see McAdam et al 2002, p.582) suggest that pressure for change has meant that there is still considerable resistance to performance measurement based change in the public sector. Aly & Akpovi (2001), in their survey of American universities, found that 65 per cent of the universities which had implemented TQM reported that resistance to change was one of the major challenges to TQM implementation. This is supported by Owlia & Aspinwall (1997) who found, when investigating several cases of TQM implementation in United States universities, that the resistance of people to change was one of the main problems in all the programmes. One of the main constraints of improvement attempts in higher education according to Seymour (see Owlia & Aspinwall 1997, p.531) is an unwillingness to change whilst Savolainen (1999) identified attitudinal and structural opposition in continuous improvement implementation.

Specifically, Thiagarajan & Zairi (1997) highlight the issue of middle management resistance to TQM implementation stemming from their fears that the transition may cost them status, power and recognition. This view is supported by Van der Vlist (see Vrakking 1995, p.35) who says that resistance can be a response to the attack on the interests and power position of the manager. Vrakking (1995, p.31) refers to the *"late resisters"* who try to undermine an implementation even after the initial decision to proceed with it has been taken.

Atkinson (1990) argues that failure to create a readiness for change will delay the benefits of TQM from taking hold and this argument is supported by Bardoel & Sohal (1999, p.264) who state:

"The importance of considering the need to create a readiness in the workforce for transformative change and applying the theoretical perspective of change are imperative".

Vrakking (1995) argues that convincing people of the need to innovate is usually an important step and this view is supported by Koehler & Pankowski (1996) who describe the change strategy employed in a case of TQM implementation in American State government. In this case the readiness for change was established by emphasising a need for change through creating dissatisfaction with the present state (Lewin, 1951).

Srikanthan & Dalrymple (2001) explain that a core issue in implementing a quality model is conducting a critical appraisal of how change is to be made in politicised environments as one typically finds in Higher Education. Koehler & Pankowski (1996) employed the change model developed by Curt Lewin, where he suggested unfreezing the culture, changing the culture, and then refreezing the culture. Atkinson (1990) suggests that time and support seem to be the deciding factors in people coming to terms with change. Logenecker & Scazzero (see Melan 1998, p.132) found that the velocity of change served as one of the main inhibitors to TQM practice by managers in a production organisation. These last two arguments point towards taking the implementation slowly in order to give people time to grow accustomed to the changes and thus reduce resistance. This argument runs counter to that developed by Vrakking (1995) in section 3.4.2 below on the pace of implementation in which a fast implementation is advocated.

Ritchie & Dale (2000), in research with ten organisations using the EFQM Excellence Model for self-assessment, identified general resistance to change as one of the main difficulties experienced. Conti (1997) views the introduction of self-assessment as a major change and strong internal resistance is therefore inevitable. He describes one of the sources of this resistance as the senior management of the organisation who might feel threatened by their activities coming under scrutiny. Another source described by Conti is the functions or business units of the company who fear encroachment on their territory or suffer from the not-invented-here syndrome. This latter syndrome is also raised as an issue by Atkinson (1990). Conti (1997) recommends gaining the direct involvement of the most negative groups as a tactic to overcome this type of resistance. Oakland (1999) states that resistance to change may be more severe if the organization is successful, if there is a particularly deep-seated culture, if there has been a great deal of change already, or if the change lacks legitimacy. Oakland (1999) lists the following as the major methods for overcoming resistance to change:

- education and communication
- participation and involvement
- facilitation and support
- negotiation and agreement

In the case of TQM implementation at the University of Bradford Management Centre, Oakland (2000) describes the use of force-field analysis to assess the pressures for and against TQM. This approach is supported by Mersh (1997) who advocates that, in introducing change in organisations, advance knowledge of the potential driving and resisting forces would enable managers to develop appropriate strategies for reducing the adverse impact of the resisting forces and for further strengthening the forces that promote the desired change.

Mersha (1997, p.177) offers advice on dealing with individuals who are *"culturally programmed"* to be more adverse to change. The advice is to aim at reducing resistance rather than increasing the pressure to change. As a result, resistance is underestimated and the necessary groundwork to gain sustained support from staff is not done. Giertz (1999) recommends, when starting a quality development programme, that an understanding of how people think about quality is gained. Feinberg (1996, p.10) is strongly of the opinion that TQM practitioners should seek out resistant managers and demand their full participation from the beginning rather than *"working around them"* or *"waiting until we have a few successes to convince them".*

Koehler & Pankowski (1996) employed empathy, participation and involvement in overcoming resistance to change in their case of TQM implementation. According to Piderit (see Downey-Harris & Harrington 2002, p.66):

"Successful organisational adaptation is increasingly reliant on generating employee support and enthusiasm for the proposed changes, rather than merely overcoming resistance".

Bolton (1995) describes the context and culture of Higher Education Institutions and argues that change is difficult to implement. Harvey (1995) writes about resistance to change issues that are specific to the Higher Education context. He believes that the basis for resistance to change in this context is the scepticism and cynicism, which flourishes amongst academics. Roffe (1998, p.79) refer to MacFarlane:

"He makes the inference that the apparent resistance to change in the [higher education] sector is caused in part by inappropriate methods for implementing change, such as by piecemeal reforms with no long-term objectives, and concludes that there is clearly a requirement to introduce appropriate methods for the management of change and for the sector to learn from change in other kinds of institution".

Hare (2000, p.3) argues that:

" The theory of organisational change, and how it might be managed and adapted to a collegial and professional culture, is one of the most pressing problems facing [university] institutional governance and management today".

Acknowledging that there is likely to be resistance to change, employing mechanisms to assess where this resistance might come from and employing suitable methods for reducing resistance are all clearly important issues if implementation is to be effective. Some views on specific issues in resistance to change in the higher education context, related to the culture in higher education, have been touched on and these are discussed in detail in section 3.3.2 on culture/context assessment.

3.3.2 Culture/Context Assessment

Brunetto (2001) states that organisational culture is one factor that can affect how employees respond to an organisational change affecting their work practices.

Bardoel & Sohal (1999) point out that, when implementing quality improvement programmes, the time needed to change the organisational culture and attitudes should not be underestimated whilst Chin & Pun (2002) indicate that an over-emphasis on the technical aspects of TQM without people commitment and cultivation of the culture will often delay the real implementation of TQM. Krasachol & Tannock (1999) argue that TQM implementation requires a culture change in the organisation and Buch & Rivers (2001) identify an understanding of the culture of an organisation as crucial to implementing TQM. Munro-Faure & Munro-Faure (1994) are of the opinion that the culture of an organisation must be respected when implementing a quality improvement programme. Anjard (1995) argues that the cultural realities of an organisation need to be understood and dealt with in TQM implementation. More specifically, Anjard (1995) highlights that the behaviour of managers often creates a culture in which quality and quality improvement systems are not valued at the same level as are other systems. If this is so, then a TQM culture cannot exist. These views are supported by Sousa-Poza et al (2001) who argue that unsuccessful implementation of TQM can be blamed on corporate culture and that the corporate culture of many UK companies is not naturally suited to TQM implementation. One of the possible reasons offered for this is the relatively high tendency towards individualism in the workforce (see 3.3.2.2 for a more detailed review of this issue). Dellana & Hauser (see Sousa-Poza et al 2001, p.747) identified that group cultures were most facilitating for TQM implementation and Mersha (1997) warns that rigid socio-cultural systems tend to resist change.

There is much support for carrying out a cultural assessment of an organisation before implementing TQM or similar initiatives in order to identify potential barriers to change and to help in designing the implementation programme. Poirier & Tokarz (1996) argue the importance of understanding the internal personality or culture of an organisation in order that allowances can be made for this in implementation. Atkinson (1990) supports this view and recommends assessing the culture and values of the organisation using a feasibility study.

Vermeulen (1997) advocates diagnosing and analysing the character of the organisation to identify potential barriers to change. Chin & Pun (2002) referring to the UMIST-TQM implementation framework, recommend an assessment of the current status of organisational culture before developing and implementing for change. The research of Bardoel & Sohal (1999) with seven cases of TQM implementation suggests that an analysis of the organisation, using cultural auditing tools, can help with the design of a successful TQM implementation programme. Wright et al (1998) argue that clear understandings of perceptions are necessary for those advocating and implementing a total quality programme as this understanding reduces delays.

Silvestro (2001) calls for a contingency sensitive approach to TQM implementation as much of the TQM literature is insensitive to the contingencies of the operational context. This view is supported by Sitkin et al (see Chin & Pun 2002, p.273) who attribute the failure of many TQM programmes to a disregard for contextual factors. Melan (1998) is of the opinion that the contextual aspect of change suggests that TQM implementation should be approached in a contingent way. Savolainen (1999) identified that industry-specific factors, which are related to the nature of the business, need to be taken into consideration in implementation. Beer & Walton (see Savolainen 1999, p.1205) contend:

"Rather than assume there is a single way to change organizations we should specify alternative change strategies appropriate to an organization's stage of development".

In response to this view that implementation should be contingent on the organisational context, many authors argue for tailored approaches to implementation. Mersha (1997) argues that the implementation process should be tailored to each organisation's specific situation as the lack of tailoring has been identified as one of the factors that leads to the failure of TQM implementation. This view is supported by Michael et al (1997) who state that the TQM programme should be tailored to suit the individual higher education institution. Sullivan-Taylor & Wilson (1996) interviewed a consultant in New Zealand who claimed to take cultural differences into account and altered the quality programme accordingly. Samuelsson & Nilsson (2002) state that one of the dilemmas in implementing the EFQM Excellence Model is whether to adjust the criteria of the model to suit the organisation and McAdam & Welsh (2000) note that the application of the EFQM Excellence Model usually involves negotiation over how the model should be used, how key terms should be construed and whether particular elements are even appropriate. Raisbeck (2001) sees a tailored management system as being one of the fundamentals for successful implementation of the EFQM Excellence Model.

Samuelsson & Nilsson (2002) advise that, when selecting a self-assessment approach, the organisation's culture must be considered. Several respondents in Samuelsson & Nilsson's (2002) research emphasised that the implementation strategy for the EFQM Excellence Model

must be developed with consideration to the company culture and Sousa-Poza et al (2001) agree that the implementation plan should be adapted to the culture.

Duke (2002) argues that, in managing universities, ignoring the rich organic underlife and the uniqueness of each member and group invites resistance whilst Michael et al (1997) warn of the problem of failing to adapt business principles correctly to an academic setting. Taylor & Hill (1992) argue that higher education bodies wishing to embrace TQM theory and practice must make an objective and critical assessment of the prevailing culture, with a view to establishing its appropriateness. Taylor & Hill (1992) go on to discuss the question that follows from this assessment, what happens if the prevailing culture is considered inappropriate to TQM - can culture be changed? They conclude that it can be changed via changes in environmental factors, but such change will almost certainly be difficult and expensive.

Sousa-Poza et al (2001) say that it is unclear whether corporate culture determines the success of the TQM implementation or if TQM modifies corporate cultures. They conclude that there is a middle ground in which an adequate corporate culture must be present to effectively implement TQM and where the implementation process can include activities, such as training, designed to modify the corporate culture.

To summarise this section on culture/context assessment, it is clear that the implementation of a TQM initiative such as the EFQM Excellence Model involves a culture change and group culture is most facilitating in this. The cultural realities of an organisation need to be understood and it is advocated that a cultural assessment should take place. Subsequently it is recommended that a contingency sensitive approach to implementation is employed in which the implementation approach is tailored appropriately for the organisation.

The literature review revealed a number of issues of culture/context that are specific to the University academic context which are reviewed below:

3.3.2.1 Management Style

Holmes & McElwee (1995) state that the management style in higher education is historically different and dissimilar to the style in the traditional commercial industrial sectors in which TQM has had its success. The literature in the area of management style in universities concentrates on the concepts of managerialism and collegialism. Harvey (1995, p.43) defines managerialism:

"Managerialism refers to the tendency in higher education for professional managers to play a much more significant role in decision-making in higher education. Decision-making that has a profound effect on academic processes and quality but which is based on non-academic criteria - often financial criteria or as the result of managerial theory".

Brunetto (2001) views managerialism as the adoption of private sector management tools within public sector organisations. Inglis (see Laughton 2003, p.318) observed that the teaching quality assessment exercise in UK HE was perceived by academic staff as part of a creeping and encroaching managerialism that was a constraint on academic autonomy and a contradiction to the core values of academic culture.

Harvey (1995, p.1) defines collegialism:

"Collegialism is a term meant to imply the institutionalisation of aspects of collegial practices and aspirations".

Harvey (1995) says that collegialism is characterised by three core elements:

- A process of shared decision-making by a collegial group in relation to academic matters.
- Mutual support in upholding the academic integrity of members of the group.
- Conservation of a realm of special knowledge and practice.

Brennan & Shah (see Laughton 2003, p.317) point out that, traditionally, universities have emphasised self and collegial accountability and self-improvement and, as such, Harris (1994) is of the opinion that managers in higher education are mediators of extraneous, market-orientated values, which compete with the collegial values and loyalties intrinsic to the subject disciplinary focus of learning in universities. Davies et al (2001) argue that models of university governance based on the notion of collegiality do not sit comfortably with pressures from customers who expect a business-like response in dynamic situations. Similarly, Srikanthan (1999) highlights the balance required between the academics' need for autonomy governed through a collegial process of wide consultation and the Universities' need for accountability which is often linked with managerial modes of operation, however Bolton (1995) argues that Higher Education Institutions discourage the active leadership and management of themselves and Pupius (1998) adds that middle managers in higher education lack the authority to change things. Raisbeck (2001) has identified outdated management structures, roles and forums as inhibitors to the implementation of the EFQM Excellence Model in Higher Education, although he does not suggest how these structures, roles and forums should be replaced. Pupius (2002) argues that a balance needs to be achieved between managerialism and collegiality in order that Higher Education Institutions can meet their obligation to be accountable to various stakeholders. Davies et al (2001) argue that it is leadership that is needed to combine the collegiality ethos of universities with the responsive, business-like approach demanded by customers rather than emphasising a managerial approach. Harvey (1999) discusses his view that accountability is easier to gain through a managerial system, however this creates problems of ownership by academics who are likely to look only to comply with management requirements rather than improve quality. Conversely, in his view, the collegiate system is better in encouraging staff ownership, but it may be more difficult to establish accountability for actions. Srikanthan & Dalrymple (2002) argue that, in order to effectively adopt TQM models

in higher education, there is a need to move away from managerialism and restore collegialism as the governing principle in higher education, and this should ideally manifest itself as shared decision making, upholding of integrity and commitment to knowledge.

Clearly there is great debate about the appropriate management style necessary for the successful implementation of TQM or the EFQM Excellence Model in the UK University context. On the whole it appears that any approach perceived by academic staff to be managerial in nature is likely to be greeted with scepticism and resistance. There appears to be support for a collegial approach combined with leadership rather than a managerial approach.

3.3.2.2 Individualism

Rodrigues (see Chin & Pun 2002, p.275) argues that people dominated by an individualistic cultural dimension may not fit well into the group-orientation aspects of management practices. Bolton (1995) highlights that, in Higher Education Institutions, individuals' achievements are ranked above their contributions to teamwork. Taylor & Hill (see Owlia & Aspinwall 1997, p.530) offer the view that individualism is often perceived as the key to personal recognition and advancement within the higher education system. This view is supported by Roffe (1998, p.77) who argues that:

"The individual member of staff is advanced or promoted, by and large, on the basis of individual research, scholarship and writing, or teaching with relatively little emphasis on working in teams to develop organisations".

Roffe's view is supported by Pupius (1998) who highlights that the strength of academic autonomy creates tension and competition between individual and organisation and Raanan (1998, p.2) refers to this as the *"Prima Ballerina Effect"* in which egotistical individuals (the academic staff) won't act in any unified way. Damrosch (see Silver 2003, p.166) suggests, in today's conditions, people work more closely together in law firms, for example, or in architectural firms, than they now do in many university departments. Chadwick (1995) notes that staff in universities sometimes have difficulty in accepting the notion of interdependence and Elmuti et al (1996, p.30) cite Jauch & Orwig who argue that a TQM system, which requires a culture committed to well-defined and common goals, appears ill suited for higher education. Elmuti et al (1996, p.40) argue that:

"The traditionally autonomous role of the professor is contrary to the TQM goals of promoting teamwork and encouraging group-based problem solving".

Motwani & Kumar (1997) highlight considerable scepticism regarding the use of TQM in educational institutions and one of the reasons for this scepticism is the threat to the individual academic staff's autonomy. Schaffer (see Owlia & Aspinwall 1997, p.531) expresses concerns that this autonomous spirit which exists in universities, makes leadership very difficult. Stawicki (1999, p.238) refers to the *"hidden rules"* of organisational culture that exist within

Institutes of Higher Education. Two of these relate to individualism; co-operation is not a declared goal and co-operation is not rewarded. Roffe (1998) indicates that the emphasis in higher education is on the individual and this represents a difficulty for Continuous Quality Improvement since working in teams is seen as central to the successful implementation of a quality assurance strategy. Raisbeck (2001) has observed a tendency towards individual rather than teamworking in Higher Education and argues that this is an inhibitor in the implementation of the EFQM Excellence Model. This view is supported by Bergman (see Owlia & Aspinwall 1997, p.531) who views the individualism of academic staff as a barrier to any transformation process.

Therefore the consensus is that academics have a tendency towards individualism which is reinforced by the promotion policies of universities. As TQM and other quality improvement approaches emphasise the need for teamwork (see 3.3.7 below) then the issue of individualism is a potential barrier to the effective implementation of the EFQM Excellence Model in UK University academic units.

3.3.2.3 The Critical nature of Staff and Academic Freedom

Holmes & McElwee (1995) state the opinion that academics have a reputation for liberalism and non-conformism. The critical nature of academic staff is identified by Ho & Wearn (1996) as a potential barrier to TQM implementation in Higher Education Institutions as academic staff are expected to analyse, challenge, criticize and substantiate evidence. Michael et al (1997) argue that because university academics seek knowledge unendingly, they practice quality inherently and therefore it is likely that they would not see the need for the implementation of a quality model. Giertz (1999) argues that TQM's strong focus on customer satisfaction as a basis for defining quality is anathema to the concept of academic freedom. Matthews (see Owlia & Aspinwall 1997, p.531) views academic freedom as a barrier to applying TQM in higher education as the administration has relatively limited control over academic staff. An alternate view is offered by Dahlgaard & Madsen (1998) who argue that focusing on the scientific approach of TQM may be a great help when trying to implement TQM in a higher education institution. They argue that the causes of problems are regarded as hypotheses by academics, which then have to be tested through a cycle of data collection and data analysis. Giertz (1999) has observed that academics can see TQM as a threat to academic freedom and the key to overcoming this fear is to make a clear connection between what they see as their mission and continuous improvement of the organisation. Raanan (1998) argues that academics often falsely use the notion of academic freedom to prevent change to more effective and efficient ways of working.

A related issue is the separation of academics and administrative and support staff in Higher Education. Raisbeck (2001) has identified this as an inhibitor to the implementation of the EFQM Model. Michael et al (1997) identified the sometimes conflict between administrators and academics as a problem in implementing TQM in higher education. This issue was also identified by Chadwick (1995) who noted that University academics have tended to view support staff as second class, often describing them as non-academic; similarly support staff often despair at the lack of administrative and managerial skills shown by academic researchers. Hare (2000) identifies a structural element to this issue in which there are two diametrically opposing systems of governance: hierarchical, command and control, administrative line bureaucracy (for support staff); and autonomous, fragmented, professional service departments and units (for academic staff). Traditionally, academics have been given a great deal of autonomy in the execution of their work, as well as control over the supporting administrative bureaucracy. In recent years, the emphasis on various quality assurance processes in HE has tended to reduce the degree of autonomy of academic staff and, at least partly, reverse the control situation. In quality assurance issues the administrators tend to exert control over the activities of academics.

There emerges no clear view on whether the critical nature of academic staff would be an aid or a barrier to EFQM Excellence Model implementation. The notion of academic freedom is a potential barrier to implementation, particularly if this is combined with a lack of co-operative working with administrative staff.

3.3.2.4 Professionalism and the nature of Professional Services

Cheng & Parsons (see Brunetto 2001, p.469) argue that professional employees place more importance on their professional authority than formal hierarchical authority. In the context of healthcare Downey-Harris & Harrington (2002, p.67) state that:

"Frequently in the past many professionals refused to co-operate with management in the overall managerial effectiveness of institutions and in some cases identified management as being of a lesser rank within the overall organisational setting".

It is possible that this also applies in Higher Education. Brunetto (2001, p.478) states that:

"In the case of academics, the evidence suggests that the authority associated with their professional culture remains a strong influence in mediating how policies are implemented".

Savolainen (1999) found that resistance to the implementation of continuous improvement initiatives was embedded in professional cultures. Morgan & Murgatroyd (see McAdam & Welsh 2000, p.123) consider whether the work cultures of the professionals in the public sector are inimical to TQM. They highlight working practices derived from: the multiplicity of professional specialisms; the primacy accorded the individual professional transaction; and the authority (sometimes autocracy) of seniority and status hierarchies. Silvestro (2001) maintains

that the EFQM Excellence Model is particularly difficult to apply to professional services as it tends to be manufacturing oriented and there is an element of professional snobbery towards the customer and Sallis (see Owlia & Aspinwall 1997, p.530) argues that TQM's emphasis on customer satisfaction may cause some conflicts with professionals in education as they see themselves as the guardians of quality and standards. Holmes & McElwee (1995) suggest that total quality will only be brought about in UK Higher Education by recognising and interacting with the professionals. This view is supported by Brunetto's (2001) research, which argues that, in the Swedish higher education sector, the professional authority associated with professionals in organisations needs to be understood in order to implement new policies. Mintzberg has quoted Higher Education Institutions as examples of *"professional bureaucracies"* (see Bolton, 1995, p.13). In this type of organisation the organisation is dependent on the skill and knowledge of the professionals to achieve its outcomes. Clark (see Silver 2003, p.166) describes higher education as *"clusters of professionals tending various bundles of Knowledge"*. This view is supported by Brennan & Shah (see Laughton 2003, p. 317) who point out that universities have relied on the professionalism of academics to ensure their quality and standing in society. Newton (see Laughton 2003, p.317) identified that academics characterised quality assurance measures as being accountability led as opposed to improvement led, and therefore alien to core values of academic culture. This raises the interesting concept that the EFQM Excellence Model, being improvement led, might gain a warmer reception from academics than the quality assurance approaches.

The issue of professionalism presents a potential barrier to the implementation of the EFQM Excellence Model in UK University academic units as the professionals might see it as a threat to their professionalism. Conversely, the EFQM Excellence Model with its emphasis on improvement might be well received by the professionals, as one of the aspects of professionalism is continual self-improvement.

3.3.2.5 Co-operation and Support

Raisbeck (2001) identifies a culture of openness and co-operation as one of the fundamentals for the implementation of the EFQM Excellence Model. This view is supported by Moeller & Sonntag (2001) who identified a supportive organisational environment as one of the success factors in facilitating successful self-assessments in German healthcare.

Therefore it is more likely that the implementation of the EFQM Excellence Model will be successful if initiatives and projects are pursued in an environment of co-operation and support.

3.3.2.6 The Academic Culture of an Institution

Raanan (1999) concludes from his research that the term 'university' has become too varied to be taken as a single, almost uniform, entity and therefore there can be no single, uniform approach to implementing TQM in universities. Instead the culture and context must be taken into consideration in the implementation as discussed in 3.3.2 above. In a survey of forty two Swedish Higher Education Institutions (Giertz, 1999) it was concluded that resistance to TQM was greater in old universities than in newer institutions as they were described as having stronger academic cultures. Unfortunately Giertz does not elaborate on what is meant by a strong academic culture. Martin & Weill (1999) describe a transition in the conservatism of academic staff who were traditionally very conservative towards change. They have noted a transition to staff who are much less conservative. They use the United Kingdom as an example in which the newest universities, which have mostly developed from technological institutions (the former Polytechnics), have a very different culture from that of the classical institutions.

The notion of the academic culture of an institution is mainly abstract save to say that it is probably made up of and determined by other issues explored in this sub-section, namely management style, individualism, the critical nature of academic staff, academic freedom, professionalism, and co-operation and support. These factors could be influenced by whether a university is seen as "old" or "new".

3.3.2.7 Recognition and Rewards

Pettigrew and Wallace et al (see Brunetto 2001, p.468) suggest that employees undergoing organisational change are unlikely to respond favourably to change unless they are rewarded for their efforts. They found that employees were unwilling to change their work practices in response to changes in the organisation's official ideologies, expectations and values unless there was also a change in the rewarding practices of the organisation in line with the new organisational focus. Thiagarajan & Zairi (1997) found that, in the best organisations, recognition and rewards are part and parcel of a well-defined quality process in which rewards and recognition are linked to sustaining the appropriate behaviour.

The review of the literature in this area shows a range of views on the advantages and disadvantages of the use of recognition and rewards associated with the introduction of TQM or the EFQM Excellence Model. Mersha (1997, p.171) states that:

"A good TQM system will have built-in mechanisms for motivating and recognizing individual employees as well as teams".

Poirier & Tokarz (1996) list recognition and rewards as one of twelve critical TQM factors. This view is supported by Koehler & Pankowski (1996) who describe the importance of recognition and rewards to the success of a case of TQM implementation whilst Thiagaragan et

al (2001) stress that recognition is important in maintaining staff involvement. They recommend setting up a reward system and recognition programmes, consulting employees regarding the most appropriate forms of recognition. Dadzie (2004) argues that recognition and reward for good work have been clearly recognised as effective organisational practices.

The UMIST-TQM implementation framework (see Chin & Pun 2002, p.277) recommends the development of methods for recognising the efforts of teams and individuals and a consideration of linking rewards to continuous improvement activities and results. Mersha (1997) goes on to emphasise that the reward and recognition system should be designed to foster co-operation and teamwork. This view is supported by Tan (1997), who identified that most organisations find it hard to install TQM because of the reward of individuals rather than teams. Within the context of universities Michael et al (1997) take the opposite view, which is that staff feel that total quality means an increase in committee work for which there is no professional benefit for them as individuals. This is linked to the issue of individualism in Universities which was discussed in detail in section 3.3.2.2. In Brunetto's (2001) research there was unanimous agreement from academics that one factor affecting their response to a new policy was the institutional response of universities communicated by the actions of Heads of School/Faculty, particularly in relation to rewarding practices. Thiagaragan et al (2001) recommend that a balance is sought between recognising individual and team performance. Hence the rewards policy related to the implementation of a quality initiative has the potential to be a significant issue in determining if implementation is successful.

Brannan (see Jackson 2001, p.161) emphasises that recognising staff is a very important factor in a total quality management implementation programme. Jackson (2001) suggests a number of mechanisms for recognising staff including award ceremonies and publication tools. A related issue is whether to have internal competitions in terms of internal awards linked to EFQM Excellence Model self-assessment results. Conti (1997) describes the greatest advantage of internal awards as being the stimulation of extensive involvement in self-assessment. He goes on to say that the danger with these awards is that, in the desire to win, strengths may be over-emphasised and this goes against the ultimate purpose of self-assessment which is to identify areas for improvement. Van der Wiele et al (1996) found in their survey of EFQM members that internal quality awards were not seen as an important issue in relation to the implementation of self-assessment, but that there was a need to develop a strong link between the self-assessment results and the recognition of individuals and teams.

From the above review it can be seen that there is broad support that recognition for staff involved in implementation can have a positive effect on staff motivation and willingness to change, and this in turn can be an aid to effective implementation. However, there is some

concern expressed about the appropriateness of linking rewards to staff involvement in implementation and also the issue of internal awards. In both cases, the concern is about the potential to negatively impact on staff motivation. The other major issue across the area of recognition and rewards is whether to recognise and reward at the individual or team level. There appears to be more support in the literature for team rewards and recognition rather then this being done on an individual basis. This is at odds with the individualistic aspect of academic culture reviewed in 3.3.2.2.

3.3.2.8 The Language and Terminology of the EFQM Excellence Model

This topic was touched upon in section 2.1, which described the EFQM Excellence Model and its use in self-assessment. This highlighted areas in which users of the EFQM Excellence Model have choice, e.g. which type of self-assessment methodology to use or whether to use scoring, however as the issue here is whether the language and terminology in the EFQM Excellence Model should be changed to suit the culture or context of Universities, the author decided that it was more appropriate to deal with this in this section on culture/context assessment.

Helms et al (2001) found that unfamiliar jargon hindered quality efforts in higher education. Coate (see Owlia & Aspinwall 1997, p.537) identified the language of TQM as one of the barriers to TQM implementation in a case of implementation in a United States university. Similarly, Martin & Weill (1999), describing the implementation of TQM in a French university, highlighted that the university tended to reject a language which it considers as only suitable for the business world. Taylor & Hill (1991) explain that the terminology of TQM may need to be modified to make it appropriate and acceptable to the academic community, because the traditions of higher education are different from those of industrial enterprises.

Similar difficulties with the language and terminology of the EFQM Excellence Model have been identified in other parts of the public sector. Awkati (2000) describes problems of understanding with the terminology and abstract nature of the main criteria names in using the EFQM Excellence Model in social services. Nabitz & Klazinga (1999) detail changes in terminology in the EFQM Excellence Model to suit the Dutch healthcare context whilst Stahr (2001) refers to a case of EFQM Excellence Model implementation in healthcare in which the model's language was orientated into more recognisable, healthcare friendly terminology. Train & Williams (2000) describe adaptations made to the terminology of the EFQM Excellence Model in the UK British Benefit Enquiry Line and Moeller & Sonntag (2001) identified the terminology of the EFQM Excellence Model as a barrier to implementation in German healthcare because it has its foundation in another industry. Thornett & Viggiani (1996, p.29) propose that:

"Quality is something that is quantifiable and that the language of business and industry can be applied to schools, albeit with a refined "dialect"".

Samuelsson & Nilsson (2002, p.15) noted that some companies have adjusted words in the questions of the EFQM Excellence Model to better fit the *"company language"*. PriceWaterhouseCoopers (2000) in their evaluation of the UK Public Sector Excellence Programme found that several organisations had adapted the terminology of the EFQM Excellence Model to better suit the culture and language of their organisation. PriceWaterhouseCoopers (2000, p.44) are of the opinion that this practice may be important in avoiding the *"not invented here syndrome"* that could undermine or be damaging to implementation efforts.

McAdam & Welsh (2000) found that a number of stakeholders in Northern Ireland Further Education Colleges emphasised the need to tailor the terminology of the EFQM Excellence Model so that it would be appropriate for use in the further education sector. McAdam & Welsh (2000) argue that this problem reflects general and long-standing differences over the appropriateness of business language in public sector contexts. In Higher Education Institutions, Bolton (1995, p.17) recommends using traditionally acceptable language, for example *students* rather than *customers*. Pupius (1998) argues that the culture of higher education does not react well to business language and so appropriate educational language should be developed to communicate the concepts of the EFQM Excellence Model to an educational audience. Zink & Voss (1998) propose that the wording in the EFQM Excellence Model be translated and adapted to an individual organisation's needs as the wording is partly abstract. Owlia & Aspinwall (1997) identified strong support for the notion of changing the criteria and terminology of quality models to better suit higher education. Zink & Voss (1999) argue that the terminology in the EFQM Excellence Model must be translated for each organisation and illustrated by definite examples. They have observed that this is especially helpful for higher education institutions whose staff are often not used to the business wording. Ruben et al (1999) describe a version of the Baldrige framework developed especially for use in United States higher education. The version was designed to address the needs of colleges and universities and utilises language that is familiar to the culture of such institutions. Giertz (1999) offers an interesting dichotomy of opinion on this issue. She points to one point of view, which is that the industry-based terminology of TQM sometimes offends academics and therefore avoiding this terminology will help implementation. The opposite argument is that it is important to keep the terminology since this highlights the fact that the TQM approach represents something new that requires rethinking.

Osseo-Asare Jr. & Longbottom (2002), from a case study of TQM/EFQM implementation in a UK HEI, identified that Deans, Assistant Deans, Heads of Departments, Quality Managers and

other personnel involved in quality and performance improvement needed further education and training to help them understand the terminology involved.

A Higher Education version of the EFQM Excellence Model Public and Voluntary Sector version has recently been produced by one of the consortia described in chapter one. This interprets the fundamental concepts of the EFQM Excellence Model (described in chapter 2) for further and higher education and offers suggestions to be analysed under the nine criteria in terminology that is more suitable for the HE sector (Sheffield Hallam University, 2003).

It would appear that amending the language and terminology of the EFQM Excellence Model so that it is more suited to the HE context could be an aid in implementation.

To summarise, the issues of culture/context that emerged from the literature which are specific to the university academic context and which could impact on effective implementation of the EFQM Excellence Model are firstly, that it appears that any approach perceived by academic staff to be managerial in nature is likely to be greeted with scepticism and resistance. There appears to be support for a collegial approach combined with leadership rather than a managerial approach. Secondly, that the issue of individualism is a potential barrier to the effective implementation of the EFQM Excellence Model in UK university academic units. Thirdly, that there emerges no clear view on whether the critical nature of academic staff would be an aid or a barrier to EFQM Excellence Model implementation. The notion of academic freedom is a potential barrier to implementation, particularly if this is combined with a lack of co-operative working with administrative staff. Fourthly, that the issue of professionalism presents a potential barrier to the implementation of the EFQM Excellence Model in UK University academic units as the professionals might see it as a threat to their professionalism. Conversely, the EFQM Excellence Model with its emphasis on improvement might be well received by the professionals, as one of the aspects of professionalism is continual self-improvement. Fifthly, that it is more likely that the implementation of the EFQM Excellence Model will be successful if initiatives and projects are pursued in an environment of co-operation and support. Sixthly, that the issue of recognition and rewards must be carefully considered in the academic context, and finally, that it would appear that amending the language and terminology of the EFQM Excellence Model so that it is more suited to the HE context could be an aid in implementation.

3.3.3 Demonstrating Senior Management Commitment

Senge et al (see Srikanthan & Dalrymple 2001, p.5) point out how up to 80% of TQM implementation efforts end in failure, due to a lack of *transformational leadership.* PriceWaterhouseCoopers (2000), in their report on the evaluation of the UK Public Sector

Excellence Programme, found that uncommitted leadership was seen as the key barrier to driving forward excellence and Aly & Akpovi (2001), in their survey of American universities, found that 41 per cent of the universities reported lack of leadership as one of the challenges of TQM implementation. Owlia & Aspinwall (1997) describe a case of failed implementation of TQM in a United States university in which one of the main factors for failure was low commitment by top management. Oakland (1999, p.5) states:

"Achieving organizational excellence often requires a mind-set change to break down existing barriers, but it must start at the top where the serious obsessional commitment and leadership must be demonstrated".

This view is supported by Atkinson (1990) who argues that TQM must be driven and be the responsibility of the senior management, ownership must reside at the top. Tan (1997) argues that quality cannot be delegated by top management but must start with them in the boardroom and Dale et al (1998) state that the introduction of a process of continuous improvement must be led by senior management. Antony et al (2002) investigated the implementation of TQM in Hong Kong industries and found that management involvement and their total participation was necessary to lead and facilitate the implementation. Dale et al (2000) point out that there are often difficulties with the commitment of senior managers associated with the introduction of TQM. It can be seen that top management support and commitment is a basic requirement for successful implementation of TQM (Mersha, 1997; Melan, 1998; Motwani & Kumar, 1997; Adebanjo, 2001).

Bolton (1995) however warns of the danger of this accepted view of obsessional commitment to quality from the top if it causes leaders in Higher Education Institutions to impose TQM philosophy and practice without consultation. This view is supported by Pupius (1998) who raises the concern that managers are often concerned with establishing their own solutions to problems rather than empowering staff.

Poirier & Tokarz (1996, p.226) report on an American study on TQM and state that:
"Demonstrated leadership commitment is critical to TQM success".

Poirier & Tokarz(1996, p.169) also state:
"Implementing an improvement process requires all the leadership managers can muster".

Harvey (1995) states that an organisation-wide approach to the implementation of TQM requires the commitment of the top management and is management-led whilst Oakland (2000) argues that TQM implementation must be given the status of an executive project. Munro-Faure & Munro-Faure (1992) argue that quality improvement will only succeed if top management is committed to making it happen and they communicate this commitment to the whole workforce.

Munro-Faure & Munro-Faure (1994) state that commitment must be visible and active every day and in every activity. Thiagaragan et al (2001) and Bardoel & Sohal (1999) concur with this view, stating that senior management's commitment to quality must be visible. More specifically, Jackson (2001) argues that ensuring the commitment of the Chief Executive is visible is vital to successful implementation. Ramirez & Loney (see Thiagarajan & Zairi 1997, p.272) highlight the fact that it is not sufficient for management to be committed, but they must also be obvious. Krasachol & Tannock (1999) researched into three cases of TQM implementation in Thailand and concluded that it was obvious that quality activities were fully supported and led by top management. Moeller & Sonntag (2001) indicate that one of the success factors when using the EFQM Excellence Model in German Healthcare was constant reassurance from top management that something would be done as a result of self-assessments. Koehler & Pankowski (1996) highlight a number of mechanisms for demonstrating senior management commitment, which include:

- Leaders being highly visible.
- Leaders being members of teams.
- Leaders being accessible to staff.
- Leaders being personally involved in education and training of staff.
- Leaders spending time recognising staff for their efforts.

Raisbeck (2001) identifies supportive and involved leaders as one of the fundamentals for successfully implementing the EFQM Excellence Model. O'Brien & O'Hanlon (2000, p.17) argue that:

"To implement any business model, the senior management must do more than talk-the-talk; they must 'walk-the-walk' by visibly changing their attitudes and behaviours".

Lewis (1999) describing the use of the EFQM Excellence Model in local government, explains that leaders are expected to act as role models for the whole organisation. George et al (2003) found that the senior managers in a local authority department that was implementing the EFQM Excellence Model delivered briefing sessions to all employees in order to demonstrate support and commitment from the top. With reference to the implementation of business excellence in a German university, Zink & Voss (1998) state that leaders need to be actively involved in the process and act as role models for the new excellence culture. Van der Wiele et al (1996) conducted a survey of EFQM members and concluded that it is important to start self-assessment with senior management, that senior management reviews the improvements and that the Chief Executive Officer is involved. This view is supported by Stahr (2001) who observes that a characteristic for success in healthcare was securing an organisational norm of Chief Executive Reviews that ensured self-assessment and continuous improvement were a cyclic process. This clearly demonstrated the support of the organisation's leaders.

Research by Sousa-Poza et al (2001) has identified that one of the solutions, when difficulties in implementation have surfaced, is to increase executive involvement.

It can be clearly seen from the above review that demonstrating senior management commitment to the implementation is a key issue if implementation is to be successful, furthermore this commitment must be active and visible.

3.3.4 Project Management

Hides et al (2000) recommend facilitating total quality through effective project management. There are a number of issues relevant to project management, which are reviewed here in separate sections although, clearly, there are linkages between the elements.

3.3.4.1 Steering Committee

Conti (1997) states that top management should form the steering committee. This point is supported by Kumar & Douglas (2002) who argue that a steering committee should be constituted comprising of high level personnel. Ho & Wearn (1996) recommend establishing a quality steering committee whilst Thiagaragan et al (2001) advocate that a steering group, chaired by the chief executive, should be set up during the early stages to design and manage the implementation process. Jackson (2001) recommends that a steering committee is set up to demonstrate that the leaders of the organisation are committed to total quality and Vrakking (1995) advocates having a strong steering group for the implementation.

The literature shows that having a steering committee for the implementation project comprising senior staff of the organisation who help to design and manage the implementation process is likely to aid effective implementation.

3.3.4.2 Project Manager

Burke (1993) argues that the selection of the project manager is one of the key appointments influencing project success. Thiagaragan et al (2001, p.297) recommend the appointment of a *"TQM support manager"* to advise and assist in the implementation. In effect, a project manager. Jackson (2001) advocates expert facilitation for project teams from someone who has expertise with the EFQM Excellence Model and expertise in the context in which it is being introduced. This is because they are attuned to the values and aspirations of the professionals in those organisations. Burke (1993) recommends that the project manager, in addition to having project management skills, should have experience in the field of the project.

It appears that the appointment of a project manager with project management skills, knowledge of the EFQM Excellence Model and an understanding of the university context would be an aid to effective implementation.

3.3.4.3 Project Champion

Melan (1998) identified that the existence of advocates to facilitate change was a key factor for successful implementation of improvement and Atkinson (1990) advocates that a manager of high status should champion the implementation, the higher the status the better. Samuelsson & Nilsson (2002) identify the need for a member of staff who is accepted at all levels to convince everyone. Savolainen (1999, p.1218) states that:

"The embedding of the quality ideology requires one or more key supporters, advocates, who not only believe in the idea but are prepared to act for it".

There is some support then for the appointment of a senior member of staff as a project champion to aid effective implementation.

3.3.4.4 Project Consultant

Conti (1997) highlights the need for an organisation to decide where and to what degree it will use the services of external consultants. It is interesting to note that he does not raise the issue of whether to use an external consultant at all, as he views consultant services as being essential. He recommends setting up a joint team of company representatives and consultants. Van der Wiele et al (1996), through a large survey of EFQM member organisations, found that external support, either from management consultants or from academics, was not seen as a necessary resource to continue a process of self-assessment after the initial training had been carried out. This view is supported by Bertsch & Williams (see Thiagarajan & Zairi 1997, p.278) who surveyed 20 leading companies implementing TQM in the USA, Europe and the Far East and found that quality training is frequently conducted by line managers with consultants used sparingly and for specific short-term assignments. Koehler & Pankowski (1996) report on the successful use of internal consultants in a large-scale implementation of TQM and Arcelay et al (1999) indicate that every institution should have someone with an excellent knowledge of the EFQM Excellence Model to stimulate and facilitate the whole process. This view is supported by the research of Samuelsson & Nilsson (2002) which identified the success of using internal facilitators to support assessment teams.

There is support in the literature for the position of project consultant to aid effective implementation. This is someone with expert knowledge of the EFQM Excellence Model and the balance of opinion is that this should be someone within the organisation rather than external to it. It is possible, given the discussion above on the role of the project manager (3.3.4.2), that the internal project consultant and the project manager could be combined as one

role. There is some limited support for the use of external consultants at the start of the implementation process.

3.3.4.5 Project Activities Plan

Vrakking (1995) argues that one of the major problems with implementations arises when the implementation was insufficiently prepared. Owlia & Aspinwall (1997) describe a case of failure in implementing TQM in a United States university and identified the lack of a clear plan as one of the main reasons for failure. Samuelsson & Nilsson (2002, p.16) state that:

"In general, companies that used a plan to express the strategy for the implementation [of the EFQM Excellence Model] seemed to carry it through more successfully, while those that did not experienced a "trial and error" process".

Owlia & Aspinwall (1997) identified, when examining TQM implementation in a number of UK universities, that they were mostly implemented in a piecemeal fashion, rather than as part of a fully integrated plan and Munro-Faure & Munro-Faure (1994) argue that quality improvement must be planned like any other significant activity undertaken by the business. This view is supported by Henderson et al (1999) who identify planning as a key success factor for successful business improvement. Michael et al (1997) stress careful planning in TQM implementation whilst Hillman (1994) stresses the importance of planning before starting the self-assessment process. Munro-Faure & Munro-Faure (1992) describe the implementation of TQM in the organisation ICL and explain the development of a blueprint for quality improvement. Taylor & Hill (1992, p.6) argue that organisational factors are the key to TQM implementation and state:

"Though many organizations decide to adopt TQM and move directly to implementation, the literature underlines the need for a considerable amount of preparation".

Taylor & Hill (1991) argue that the implementation of TQM in universities would require considerable planning and, in the case of TQM implementation at the University of Bradford Management Centre, Oakland (2000) explains that a strategy for implementing TQM was developed at a strategic planning workshop.

Conti (1997) recommends that a complete activities plan should be drawn up to be approved by top management and the steering committee whilst Chin & Pun (2002) take this a step further by advocating that all members of senior and middle management are involved in the planning process, thereby developing ownership of the resultant plans. Vrakking (1995) sees this participation in the design phase as the first step of implementation.

Cullen & Hollingum (1987) advocate a time-phased plan identifying targets and milestones. This view is supported by Jackson (2001) who argues that the implementation plan should carefully consider the timing of events. Boonstra (see Vrakking 1995, p.35) states that it is

important to distinguish the various steps in the change process using a step-by-step method and Atkinson (1990) advocates the development of a sequence of activities indicating the critical path. This view is supported by Vrakking (1995) who advocates gaining consensus on what the absolutely necessary steps are. For the implementation of their HETQMEX model, Ho & Wearn (1996) recommend the creation of a documented implementation plan as, in their experience, good project management is essential.

Another issue to bear in mind when planning an EFQM Excellence Model implementation is the existence of other projects which could divert attention, time and resources away from the implementation. PriceWaterhouseCoopers (2000) in their evaluation of the UK Public Sector Excellence Programme, identified initiative overload as a significant barrier to achieving excellence.

The development of a project activities plan in which the key activities have been identified and the timescales have been agreed would appear to be an aid to effective implementation. There is some support for the view that senior managers should participate in the design of this plan and approve it for use. The plan should take account of other initiatives and projects occurring at the same time to help prevent initiative overload.

3.3.4.6 Project Progress Monitoring

Ho & Wearn (1996) recommend monitoring progress of the implementation as part of the Deming cycle (plan-do-check-act) and Samuelsson & Nilsson (2002) argue that it is vital to ensure that monitoring implementation of actions becomes a natural part of the business review process and not a separate activity. Melan (1998) advocates having a means for assessing the progress of the change. Jackson (2001) supports this view and argues that the reviewing of the implementation programme needs to be built into the initial agreed strategy. Burke (1993) recommends a tracking and monitoring function be established to establish the project's position with respect to progress against the objectives of the project and its time schedule.

Project progress monitoring would appear to be an aid in effective implementation.

3.3.4.7 Project Resources Allocation

Dale et al (2000) highlight that one of the difficulties often associated with the introduction of TQM is the allocation of resources. Aly & Akpovi (2001), in their survey of American universities, found that 53 per cent of the universities which have implemented TQM saw lack of resources as one of the challenges of TQM implementation. The Cabinet Office (2001) warns that you will not succeed in implementing the EFQM Excellence Model without adequate resources whilst Mersha (1997, p.170) states that:

"A true test of management commitment lies in the amount of resources (time, money, people) that it is willing to allocate to the TQM implementation effort".

Michael et al (1997), who examined TQM implementation in higher education, recommend allocating sufficient time and resources to the implementation process and Zink & Voss (1998) state that leaders need to be ready to provide the necessary resources for EFQM Excellence Model implementation. This view is supported by Van der Wiele et al (1996, p.93) who state:

"If self-assessment is to be taken seriously the senior management have to make resources available".

Van der Wiele et al's (1996) research revealed that the main resources made available for the self-assessment activities of the respondent organisations were people internal to the organisation and money. Zink & Schmidt (1998) state that resources for self-assessment must be provided in terms of time, personnel and, if necessary, finances for external consultants and training. Moeller & Sonntag (2001) identified difficulties with resources as a barrier to implementation of the EFQM Excellence Model in German healthcare. Particular factors identified were a lack of dedicated staff to conduct self-assessments, lack of staff time to take part in self-assessments and a lack of access to information. Jackson (2001) also found that information requirements are paramount to success. In addition she highlights the resources of energy, creativity and time as being significant in applying TQM tools.

Vrakking (1995) advises to double any estimate of resource requirement if implementation is to be successful and to make sure that budget and manpower requirements are included in the decision making as, without these, the project cannot be executed.

The allocation of appropriate resources to the implementation process should aid the effective implementation of the EFQM Excellence Model. These resources might include staff time, a financial budget and access to information.

3.3.4.8 Project Pilot

Stawicki (1999) reports on the use of TQM in German Higher Education Institutions and notes that implementation has only taken place in relatively small units. He is of the opinion that it seems to be too difficult to implement TQM in a department or in a complete university. Conti (1997) considers the issue of whether the first self-assessment should be done across the whole organisation or in selected parts of it. In other words, should it be piloted. It is, according to Conti, important to get a balance between not being seen to exclude sectors and ensuring the involvement of willing sectors that are likely to become convinced supporters. Harvey (1995) reports on a number of cases of TQM implementation in Higher Education in which it has been piloted in one small area before extending the process. However, he reports that there is little

evidence to suggest that these small-scale, limited introductions lead to full-scale implementation. McAdam & Welsh (2000) note that organisations need to choose whether to implement the EFQM Excellence model organisation wide or to pilot it first whilst Zink & Schmidt (1998, p.152) advocate the selection of appropriate business units for a *"pilot-assessment"* and, because of trend setting effects on the whole company, units should be chosen with the will to participate actively. Michael et al (1997) report that many colleges or universities choose to take the slow route to TQM implementation. This involves starting a few departments at a time and then adding to them until the whole institution is involved.

Moeller et al (2000) report a case of EFQM implementation in German healthcare in which self-assessment was piloted in one area before rolling out the self-assessment process to other parts of the organisation and Bolton (1995) argues that it is worth pursuing Total Quality initiatives in a sub-unit, if necessary without explicit institution-wide commitment as people in Higher Education Institutions are more likely to emulate a successful experiment than to accept an imposition. The respondents to Van der Wiele et al's (1996) survey were almost equally divided on whether it was best to start self-assessment with a pilot scheme or to launch the process on a company-wide basis, but there was a slight leaning towards the latter. Vrakking (1995, p.43) expresses very strong views on the issue of piloting which he refers to as *"an experimental garden"*. He argues that this approach indicates that the faith in the innovation is insufficient. This results in an unsettling of the main decision to proceed and a lengthening of the implementation which opens it up to risks. Particularly, this can present a very effective opportunity for those who are not happy with the innovation to display resistance.

There appears to be no clear view on whether the implementation should be piloted or carried out across the organisation, and there are a number of arguments both in support of piloting and against this approach to implementation.

To summarise, there are a number of issues relating to project management, which could impact on the effective implementation of the EFQM Excellence Model in UK university academic units. Firstly, that having a steering committee for the implementation project comprising senior staff of the organisation who help to design and manage the implementation process is likely to aid effective implementation. Secondly, that the appointment of a project manager with project management skills, knowledge of the EFQM Excellence Model and an understanding of the university context would be an aid to effective implementation. Thirdly, that there is some support then for the appointment of a senior member of staff as a project champion to aid effective implementation. Fourthly, that there is support for the position of project consultant to aid effective implementation. This is someone with expert knowledge of the EFQM Excellence Model and the balance of opinion is that this should be someone within the organisation rather

than external to it. Fifthly, that the development of a project activities plan in which the key activities have been identified and the timescales have been agreed would appear to be an aid to effective implementation. There is some support for the view that senior managers should participate in the design of this plan and approve it for use. The plan should take account of other initiatives and projects occurring at the same time to help prevent initiative overload. Sixthly, that project progress monitoring would appear to be an aid in effective implementation. Seventhly, that the allocation of appropriate resources to the implementation process should aid the effective implementation of the EFQM Excellence Model. These resources might include staff time, a financial budget and access to information, and finally, that there appears to be no clear view on whether the implementation should be piloted or carried out across the organisation. There are a number of arguments both in support of piloting and against this approach to implementation.

3.3.5 Education and Training

Munro-Faure & Munro-Faure (1992, p232) describe TQM implementation in the organisation ICL and state:

"A key to making the necessary changes lies in educating all employees throughout the company".

Mersha (1997, p.170) states that continuous training is *"a must"* if the TQM effort is to succeed and Jackson (2001, p.162) advocates providing *"intense education and training"* when implementing TQM tools. Taylor & Hill (1992, p.9) argue that:

"Attempting a TQM initiative without providing the training necessary to provide those involved with the appropriate knowledge, skills and attitudes would be a recipe for disaster".

Oakland (1999) believes that training is the single most important factor in actually improving performance and Poirier & Tokarz (1996) list training as one of twelve critical TQM factors. Harvey (1995) argues that there has to be a formal programme of education and training for all staff whilst Munro-Faure & Munro-Faure (1994) believe that training is essential to transform an organisation and ensure that quality improvement is successful. They see training as a prerequisite for understanding and thus effective involvement of staff in quality improvement whilst Antony et al (2002) found that training and education was the most important factor for the successful implementation of TQM in Hong Kong industries. Owlia & Aspinwall (1997) investigated TQM implementation in United States universities and found that training in TQM was one of the first stages taken in almost all cases. Oakland (see Thiagarajan & Zairi 1997, p.275) stresses that training strategy should be addressed at an early stage. All three companies studied by Krasachol & Tannock (1999) featured effective training programmes in their TQM implementation programmes and Ho & Wearn (1996) recommend providing training so that staff are fully aware of the changes involved in implementation.

Koehler & Pankowski (1996) describe just-in-time training in a case of TQM implementation. In this case, the elements of training were delivered only shortly before they were needed by the staff involved. This idea of just-in-time training is supported by Thiagarajan & Zairi (1997) who stress that proper timing and spacing of training programmes to ensure what is learnt is applied right away and not lost is crucial.

Kano (see Thiagarajan & Zairi 1997, p.277) stresses the importance of adapting training programmes to the company's workplace. This is supported and made more specific by Kumar & Douglas (2002) and Zink & Schmidt (1998) who argue that training and educating all managers involved in the assessment process is a pre-condition for self-assessment. Samuelsson and Nilsson (2002) argue that training of key management and in-house facilitators should be one of the organisation's first priorities when implementing self-assessment and that this is a good way of motivating staff and improving their understanding. This approach is supported by O'Brien & O'Hanlon (2000) who describe a case of EFQM Excellence Model implementation in which all the senior and middle managers attended EFQM assessor training. Lewis (1999) states that each one of Southwark Council's 150 senior managers was trained to conduct self-assessments on their business and this view is supported by the Cabinet Office (2001) which recommends training for those taking part in the assessment. Van der Wiele et al (1996) report that, in their survey of EFQM members, a formal training activity related to self-assessment was started prior to the launch of the process in 72 per cent of the respondents and 76.1 per cent of the respondents thought that it was important to train the people who will do the self-assessment. Shergold & Reed (1996) recommend training self-assessment teams in the concepts and use of the model and self-assessment and Conti (1997) advocates adequate training for all members of self-assessment teams in order to ensure effectiveness. In addition he recommends that at least one team member should have previous experience of self-assessment. Conti (1997) argues that the main purpose of training is to change people's attitudes. With reference to the EFQM Excellence Model this means ensuring that the model's fundamental values have been assimilated.

One of the solutions offered to overcome difficulties in implementation is improved training (Sousa-Poza et al, 2001). Specifically, Vrakking (1995) advocates training managers to manage the change process.

Education and Training are clearly seen as key issues in effective implementation in order to affect staff knowledge and attitudes, and to introduce the necessary skills to carry out EFQM Excellence Model self-assessment. Some writers advocate just-in-time training

3.3.6 Communication

Good communication and information about the implementation is seen as essential to increase support for the implementation (Vrakking, 1995) and Poirier & Tokarz (1996) list communication as one of twelve critical TQM factors. Koehler & Pankowski (1996) advocate showing respect for employees by sharing information with them and Krasachol & Tannock (1999) consider effective communication between management and staff as vital for TQM implementation. Henderson et al (1999) identified communication as an overarching influence on the critical success factors for EFQM Excellence Model implementation. This view is supported by Pupius (2002) who sees internal communication as a key process in EFQM Excellence Model implementation. Ritchie & Dale (2000) identified in their research with ten organisations using the EFQM Excellence Model that one of the main difficulties experienced was ignorance of what self-assessment involves. This can be attributed to poor communication. This view is supported by Lewis (1999) who is of the opinion that poor understanding of the purpose of self-assessment (through poor communications) led to the failure to embed the self-assessment programme into the strategic planning processes in Southwark Council. Chin & Pun (2002) stress that communication must take place to explain why TQM is being adopted and what will be involved. Zink & Voss (1998, p.3) describe the introduction of EFQM self-assessment into a German university and explain that:

"The first assessment cycle started with an information campaign, introducing the assessment scheme and objectives to the people".

Samuelsson & Nilsson (2002) view communication as a tool to maintain staff commitment, stating that people must be informed about targets, execution and consequences of the self-assessment, and improvements in profitability and overall business performance must be visible. Evenden & Anderson (see Jackson 2001, p.158) assert that the organisation needs to ensure that people are kept informed about progress to generate a feeling of involvement whilst Oakland (1999, p.193) explains the importance of communications thus:

"The essence of changing behaviour in business is to gain acceptance for the need to change, and for this to happen, it is important to provide relevant information, convey good practices, and generate interest, ideas and awareness through excellent communication processes".

Hillman (1994) advocates communicating the organisation's intentions with self-assessment before getting started. Conti (1997) stresses the importance of putting a communications plan in place as part of the preparations for implementing the EFQM Excellence Model. He emphasises that everyone, not just those directly involved, should know what the company's goals are, why self-assessment is important to the organisation, what will happen and how people will be involved. The Cabinet Office (2001) concurs with this and recommends that communication takes place with the whole organisation throughout the assessment process. Mersha (1997) believes that communication is an important tool in reducing resistance to change and that timescales, objectives, benefits and success stories should be shared with employees. Shergold

& Reed (1996) advocate communicating the adoption of the EFQM Excellence Model and self-assessment to the organisation through a variety of channels whilst Raisbeck (2001) argues that poor communications are an inhibitor to the implementation of the EFQM Excellence Model in Higher Education.

Oakland (1999) suggests that a communications plan should address the following:

- Why should we communicate?
- What should we communicate?
- Who should we communicate with?
- How should we communicate?
- When should we communicate?
- Where should we communicate?

Cullen & Hollingum (1987) propose mechanisms for increasing company-wide awareness of TQM, such as briefing sessions and company newspapers whilst Jackson (2001) stresses the importance of face-to-face communication despite the time that this requires. Antony et al (2002) found, in researching TQM in Hong Kong industries, that an open culture is important in improving communication. George et al (2003) describe a case of EFQM Excellence Model implementation in a local authority in which briefing sessions were employed for all employees. These provided an overview of where the service had come from over the last few years and why and how the EFQM Excellence Model was going to be used to encourage further and continued improvements in the service. In other words, the communication put the use of the excellence model into the context of the organisation.

On a specific communications issue, Van der Wiele et al (1996) identified from a survey of EFQM members that only 32.5 per cent of respondents thought that it was important to publicise the self-assessment results of all business units together for comparison purposes and to encourage transfer of best practice. The reasons for this view are not discussed, however this might be due to concerns about possible negative effects of the comparisons on staff motivation.

It can be seen from the above review that communications can be an important aid in effective implementation and there is much support for the development and use of a communications plan. A number of mechanisms for communication have been suggested.

3.3.7 Staff Involvement and Teamwork

Storey (see Holmes & McElwee 1995, p.6) discusses the concept of *"soft HRM[Human Resource Management]"*, which accepts the idea of resourceful humans who have something to offer and can contribute to organisational development and the achievement of excellence. Poirier & Tokarz (1996) list empowerment/involvement as one of twelve critical TQM factors and Harvey (1995) explains that a central tenet of TQM is that every employee has an important

role to play in improving the quality of the product or process. Poirier & Tokarz (1996, p.137) state that:

"No improvement process would be successful without dedicated people".

Mersha (1997, p.170) argues that:

"TQM success is unthinkable without the full and active involvement of all employees".

Vrakking (1995) argues that the chances of successful implementation increase if employee participation is applied correctly and in a controlled manner. Mersha (1997) continues by highlighting that the failure to empower individuals and teams is one of the factors which results in failed TQM implementations. Thiagarajan & Zairi (1997) argue that TQM succeeds only with employees' involvement in the TQM process and their commitment to its goals. Taylor & Hill (1992) and Jackson (2001) argue that every effort must be made to involve all organisational members as fully as possible in continuous improvement activities whilst Thiagaragan et al (2001) recommend maximising internal stakeholders' involvement. Munro-Faure & Munro-Faure (1992) argue that TQM requires the harnessing of the skills and enthusiasm of everyone in the business. Antony et al (2002) however found a lack of employee involvement when researching TQM implementation in Hong Kong industries. They thought that this could be attributed to managers feeling threatened by the idea of delegating authority and empowering employees. The research of Samuelsson & Nilsson (2002) has shown that the chosen approach to self-assessment must foster staff participation. Conti (1997) recommends that self-assessment teams should be the main mechanism for gaining staff involvement.

Taylor & Hill (1992) recommend team working as an important vehicle for promoting employee involvement. Gobeli (see Bardoel & Sohal 1999, p.269) found that the formation of teams was fundamental to the implementation strategy of TQM for small companies and Oakland (1999) argues that the complexity of most processes places them beyond the control of any one individual and thus the only efficient way to tackle process improvement is through the use of some form of teamwork. This, he indicates, relies on the premise that people are most willing to support any effort in which they have taken part or helped to develop. This view is supported by Munro-Faure & Munro-Faure (1994) who say that individuals must be actively involved in improvement. Mersha (1997) indicates that co-operation and teamwork are necessary ingredients for TQM success and Ho & Wearn (1996) recommend establishing improvement teams to gain staff involvement. The UMIST-TQM implementation framework (see Chin & Pun 2002, p.278) recommends the establishment of teamwork that is designed to become part of the organisation's method of working. Chapman (2000) describes the implementation of the EFQM Excellence Model in two cases in which internal improvement teams were set up with clear support, in terms of resources and priority, from senior

management. All the companies studied by Krasachol & Tannock (1999) emphasised the importance of group activity in their TQM programmes and this is supported by the work of Van der Wiele et al (1996) who noted from their survey of EFQM members that one of the learning points from the first round of self-assessments in respondents was that there was a need to develop teamwork. O'Brien & O'Hanlon (2000) describe a case of EFQM Excellence Model implementation in which more than a third of the 600+ workforce were involved in improvement teams within a year of starting. Harvey (1995) acknowledges the emphasis on teamwork in TQM and raises concerns about this in the academic environment. Harvey (1995, p.29), commenting on teamwork, states:

"In many respects this is an alien process for many academics who are not only used to working alone but are valued by their institutions for their individual contribution".

Harvey (1995, p.29) goes on to say that:

"For most academics, individual teaching and scholarship are the norm. Indeed, there is a conflict between teamwork and individual brilliance".

Taylor & Hill (see Owlia & Aspinwall 1997, p.530) state that team working is not common in higher education, although Owlia & Aspinwall (1997) found, when investigating TQM implementation in United States universities, that employee involvement and team working were adopted in 86 per cent of cases. Moeller & Sonntag (2001) identified that dysfunctional group membership or ineffective group dynamics impeded the success of self-assessments.

It appears that the involvement of staff and the use of teamworking are key issues if implementation is to be effective. However the above review clearly raises the potential for teamworking being a barrier to effective EFQM Excellence Model within the University context. This is in line with the tendency towards individualism in the university academic context, which was reviewed in section 3.3.2.2 above.

3.4 Momentum

Bardoel & Sohal (1999) emphasise the importance of follow-through if an organisation is attempting to develop long term commitment to any continuous improvement initiative. The literature review identified a number of actions which, if carried out effectively by organisations, could help to ensure that the implementation process maintained its momentum. These are discussed below.

3.4.1 Improvement Planning, Action and Review

Van der Wiele et al (1996) conclude from their survey of EFQM members that the development of an improvement plan is seen as a very important step in the self-assessment procedure. Shergold & Reed (1996) and Zink & Schmidt (1998) indicate that establishing prioritised action

plans is a key element of the self-assessment process whilst Pitt (1999) stresses the critical importance of integrating self-assessment with action planning and implementation, followed by effective review. Samuelsson & Nilsson (2002) state that a critical phase of self-assessment is the establishment of an improvement plan that must be presented to senior management, linked to business planning and then communicated to the whole organisation. Arcelay et al (1999) describe how improvement actions were included in the business plans in a number of centres in a Spanish public health service and Chapman (2000) describes two cases of EFQM Excellence Model implementation in which improvement planning, action and review had great prominence.

Samuelsson & Nilsson (2002) state that improvement actions should be prioritised, since only a few actions can be driven effectively and the Cabinet Office (2001) recommends making sure that an organisation acts on improvement opportunities as failure to do so will undermine the organisation's credibility. In terms of improvement planning, Cullen & Hollingum (1987) advocate putting into effect some improvement projects, which will show quick and clearly visible benefits early in the programme in order to build up enthusiasm. This view is supported by Atkinson (1990) who suggests that some wins should be planned, ensuring that the small successes are implemented. In the two cases of EFQM Excellence Model implementation described by Chapman (2000, p.31) *'quick wins'* were prioritised to give credibility to the process and develop an ongoing momentum. This concept is supported by Jackson (2001) who recommends that some quick successes are secured. Moeller & Sonntag (2001, p.364) recommend that organisations start with *"champion-areas"* where people will be able to quickly see numeric evidence of success and Cullen & Hollingum (1987) emphasise the importance of reviewing the success of improvement projects to ensure they have achieved their objectives.

It is clear that the process of improvement planning, action and review has the potential to maintain the momentum of the implementation and thus contribute to effective implementation. There is much support for generating some 'quick wins' to demonstrate success.

3.4.2 The Pace of Implementation

Vermeulen (1997) indicates that failure of TQM implementation can occur when the implementation process outpaces acceptance of the change and the understanding of the need and benefits. Vrakking (1995) takes the opposite view and argues that the chances of successful implementation increase if the time between generation of the idea and the implementation is kept to a minimum. He also calls for irreversible actions that commit the organisation to the project to be taken immediately after the decision has been made. Vrakking (1995), after investigating many cases of seized-up implementation processes, continues to argue that if implementation is slow then it is doomed to fail.

The pace of implementation needs to be carefully judged if implementation is to be effective. If it is too fast then this might produce resistance to change and if it is too slow then the momentum of the implementation process is lost.

To summarise, the issues concerning momentum that have emerged from the literature are, firstly, it is clear that the process of improvement planning, action and review has the potential to maintain the momentum of the implementation and thus contribute to effective implementation. There is much support for generating some 'quick wins' to demonstrate success. Secondly, that it can be seen that there is broad support that recognition for staff involved in implementation can have a positive effect on staff motivation and willingness to change, and this in turn can be an aid to effective implementation. However, there is some concern expressed about the appropriateness of linking rewards to staff involvement in implementation and also the issue of internal awards. In both cases, the concern is about the potential to negatively impact on staff motivation. The other major issue across the area of recognition and rewards is whether to recognise and reward at the individual or team level. There appears to be more support for team rewards and recognition rather then this being done on an individual basis and finally, that the pace of implementation needs to be carefully judged if implementation is to be effective. If it is too fast then this might produce resistance to change and if it is too slow then the momentum of the implementation process is lost.

3.5 Integration

PriceWaterhouseCoopers (2000, p.35), in their evaluation of the UK Public Sector Excellence Programme, state that:

"Detractors of the Excellence Model are more likely to be found in an organisation where there is a low level integration of the use of the model in the day-to-day running of the business".

Bauer (2002), in researching the implementation of business excellence, found some support for the argument that successful implementation was aided by integration. Several issues emerge from the literature that suggest that implementation of the EFQM Excellence Model is more likely to be successful if it is integrated into the organisation and its processes in various ways. These are reviewed below:

3.5.1 Multi-Level use of the EFQM Excellence Model

In the implementation of TQM, Thiagaragan et al (2001) recommend establishing activities in all the levels of the organisation. The author suggests that this might also be applicable with the EFQM Excellence Model having the effect of a "tap root", helping to ensure integration into the organisation.

3.5.2 The use of the EFQM Excellence Model in Strategic Planning

Chin & Pun (2002) argue that TQM is part of the business planning process and should be integrated with other strategies. Conti (1997) believes that self-assessment and the subsequent improvement planning should be integrated into the company planning cycle and particularly strategic planning as the implementation of specific improvements might need the strategic allocation of resources. Alternatively, if improvements are not feasible or too expensive, then the strategic goals of the organisation might need to be reviewed and amended. Wells (2001) recommends that self-assessment is integrated into the existing strategy framework and Henderson et al (1999) argue that strategic and operational plans should be formulated for business improvement. Van der Wiele et al's (1996) survey identified linking the outcomes of the self-assessment to the business planning process as one of the five most important steps in the self-assessment process. The respondents learned as a result of the first self-assessment that there is a need to make self-assessment an integral part of the business planning process. Lewis (1999) describes how most departments in Southwark Council had difficulty in embedding the assessment processes into planning and review activity whilst Munro-Faure & Munro-Faure (1994, p.254) state that:

" Quality Improvement requires careful planning to ensure a long-term strategic focus coupled with short-term action-oriented performance goals".

Elmuti et al (1996) in their investigation of TQM in United States Higher Education Institutions, found that one common mistake made was not using strategic issues to drive the implementation. This is supported by the work of Bardoel & Sohal (1999) who found that one of the reasons for the failure of TQM was the fact that it had not been integrated into the strategic planning systems of the organisation. Zink & Voss (1998) argue that the vision of Business Excellence has to become an integral part of corporate planning in German universities. Pupius (2002) elaborates on this by arguing that EFQM self-assessment should form part of an integrated planning process in UK Higher Education Institutions.

It appears that linking EFQM Excellence Model self-assessment with the strategic planning processes has the potential to help integrate the EFQM Excellence Model into the organisation's processes and thus aid effective implementation.

3.5.3 The use of the EFQM Excellence Model in Performance Management

This issue was dealt with in detail in section 2.4.3 as one of the potential uses of the EFQM Excellence Model, however this section concentrates on the issue of performance management being a potential vehicle for helping integrate EFQM Excellence Model self-assessment into an organisation. Poirier & Tokarz (1996) list the integration of performance management/appraisal into the TQM process as one of twelve critical TQM factors. This view is supported by Cullen & Hollingum (1987) who argue that each functional manager should have quality objectives

that are set annually. Oakland (1999) explains that performance review techniques such as self-assessment are useful in identifying improvement opportunities and motivating performance improvement whilst Koehler & Pankowski (1996) describe a case in which quality criteria were integrated into performance appraisals. Thiagaragan et al (2001) advocate the identification of critical success factors (CSFs) aligned with company policies and the definition of key performance indicators (KPIs) for each CSF.

There appears to be little in the literature to support the notion that the linking of performance management with EFQM Excellence Model usage would be a key issue in improving the integration of the EFQM Excellence Model into an organisation, thus aiding effective implementation.

3.5.4 Alignment of the EFQM Excellence Model with other organisational systems

Melan (1998) analysed 11 Baldrige application summaries and identified having a system for sustaining the intervention as one of the factors for successful implementation. Poirier & Tokarz (1996) list the alignment of organisational systems as one of twelve critical TQM factors. More specifically, Oakland (1999) explains that the key is to align the employees of the business with the core processes of the organisation. Dale et al (1998) emphasise the need to integrate the use of the EFQM Excellence Model into other management activities and Oakland (2000), describing the TQM implementation at the University of Bradford Management Centre, explains that it was seen as essential to fully integrate any TQM initiatives into the Management Centre's management systems. Pitt (1999) stresses the value of locating the self-assessment process within business action planning and performance monitoring.

Beechner & Hamilton (see Hermel & Ramis-Pujol 2003, p.239) believe that the misalignment of strategic planning, continuous improvement and the transfer of knowledge could be one of the main causes of failure when trying to implement excellence models.

Jackson (2001) offers an interesting perspective on integrating total quality management tools into organisations. She emphasises the positive effect of the tool facilitating activities that are already in place. As a result people are more comfortable with this situation than they would be in one in which existing processes were being completely discarded for new ones.

If the EFQM Excellence Model can be aligned with activities which are already taking place within an organisation then it is more likely to become integrated into the organisation and thus aid effective implementation. In the UK University context this could be an alignment with, for example, the present quality assurance arrangements for institutional audit.

To summarise, the issues concerning integration that have emerged from the literature are, firstly, that multi-level use of the EFQM Excellence Model in an organisation might have the effect of a "tap root", helping to ensure integration into the organisation. Secondly, that it appears that linking EFQM Excellence Model self-assessment with the strategic planning processes has the potential to help integrate the EFQM Excellence Model into the organisation's processes and thus aid effective implementation. Thirdly, that there appears to be little in the literature to support the notion that the linking of performance management with EFQM Excellence Model usage would be a key issue in improving the integration of the EFQM Excellence Model into an organisation and, finally, that if the EFQM Excellence Model can be aligned with activities which are already taking place within an organisation then it is more likely to become integrated into the organisation and thus aid effective implementation.

3.6 Chapter Summary

From this literature review a number of issues have emerged which could impact on the effective implementation of the EFQM Excellence Model in UK University academic units. A clear motive with a clear view on the objectives and benefits to be achieved are seen as important issues and it is clear that senior management commitment to the implementation needs to be gained. There is much emphasis on the issue of preparation in which the issues of resistance to change, culture/context assessment (which includes many sub-issues), demonstrating senior management commitment, project management (which includes many sub-issues), education and training, communication, and staff involvement and teamwork emerged as important in implementation. The final two main issues uncovered were those of momentum and integration, both of which included a number of sub-issues. Thus the outcomes of this chapter have contributed (along with the outcomes of chapter 2) to the achievement of the objective: *To identify the issues that impact on the implementation of the European Foundation for Quality Management's (EFQM) Excellence Model in the UK University academic environment.*

These issues along with issues identified in chapter 2, the content, development and uses of the European Foundation for Quality Management's Excellence Model will be taken forward to chapter 4 in which the theoretical framework will be developed.

CHAPTER 4

THEORETICAL FRAMEWORK

4.0 Chapter Introduction

The purpose of this chapter is to take the issues and that emerged from the literature reviews in chapters two and three, and set them into a theoretical framework. The theoretical framework is an attempt to express the inter-relationships between these issues so that the overall structure of an implementation process can be conceptualised.

There were a number of articles which were reviewed in chapters two and three, which offered advice on the development of TQM implementation models and these are considered in this chapter in order that this knowledge can be included in the development of the theoretical framework for this study. Significantly, only a small number of articles offered either advice on how to construct a framework/model or provided an implementation framework/model for implementation. Just one of these was specific to implementing the EFQM Excellence Model (rather than TQM) and this (Hermel & Ramis-Pujol, 2003) simply recommended that a non-prescriptive framework should be developed without actually developing one. In addition there are many step-by-step guides for carrying out self-assessments, e.g. Hillman (1994), EFQM (2003a), CMPS Civil Service College Directorate (2002), however these do not address the list of issues revealed in this study and therefore are not adequate in terms of addressing these issues when striving for effective implementation. This again gave the author confidence of the need for the development of a guidance framework for implementing the EFQM Excellence Model in UK University academic units, which would help provide the contribution to knowledge necessary for a PhD.

The development and structure of this theoretical framework for implementation of the EFQM Excellence Model in UK University academic units will be explained in this chapter. The set of issues impacting on implementation described in this framework can then be explored in the case studies using appropriate data collection methods. This will contribute to the achievement of the objective: *To explore and analyse the approaches used in attempted implementation of the EFQM Excellence Model in a number of UK University case studies in order to discover the critical issues for effective implementation.*

4.1 Issues which emerged from the literature reviews

Each of the two literature review chapters revealed a number of issues, which could impact on the effective implementation of the EFQM Excellence Model in UK University academic units. The following two sub-sections will revisit these to ensure they are included in the theoretical framework.

4.1.1 Issues from Chapter Two

The main issues that emerged from this chapter of the literature review (the content, development and uses of the European Foundation for Quality Management's Excellence Model) were:

- Whether the EFQM Excellence Model has been applied throughout all departments in the universities at once or if a phased approach has been designed whereby some departments have applied it before others.
- Which self-assessment approach has been chosen by each university and why.
- Whether RADAR Logic has been used as part of self-assessment in the universities.
- Whether scoring has been used as part of self-assessment in the universities and, if scoring has been used, if the weightings have been amended and for what purposes the scores have been used.
- Whether some of the language or terminology in the EFQM Excellence Model has been altered in the universities to fit better with the HE environment.
- To confirm whether the UK universities are using the EFQM Excellence Model in its expected primary role of a model for self-assessment.
- To discover if the EFQM Excellence Model is being used for other purposes as described in the chapter, namely:
  - Its use as a strategic tool.
  - Its use as a means of providing a holistic, broader view of the business.
  - Its use as a tool for performance management.
  - Its use as a benchmarking tool.
  - Its use as a means of integrating other quality and management initiatives and tools.
  - Its use in gaining a quality award.
  - Its use as a means of motivating staff to get involved in Quality Improvement activities.

4.1.2 Issues from Chapter Three

The main issues that emerged from this chapter of the literature review (issues impacting on the effective implementation of the EFQM Excellence Model in UK university academic units) were:

- A clear motive is needed with a clear view on the objectives and benefits to be achieved.
- It is clear that senior management commitment to the implementation needs to be gained.
- There is much emphasis on the issue of preparation in which the following issues emerged:
  - Resistance to change needs to be managed.
  - Culture/context assessment needs to take place. The specific issues relating to the University culture/context arising from the literature review were:
    - Management style.
    - Individualism.
    - The critical nature of staff and academic freedom.
    - Professionalism and the nature of Professional Services.
    - Co-operation and support.
    - Recognition and rewards.
    - The overall "academic culture" of an organisation.
    - The language and terminology of the EFQM Excellence Model and whether it should be changed to suit the culture of Universities.
  - Senior management commitment needs to be demonstrated.
  - Project management needs to be employed. Many sub-issues of project management emerged:
    - Steering Committee.
    - Project manager.
    - Project champion.

    - Project consultant.
    - Project activities plan.
    - Project progress monitoring.
    - Project resources allocation.
    - Project pilot.
  - Education and Training is important.
  - Communication is important.
  - Staff involvement and teamwork are both necessary.

The final two main issues uncovered were those of:

- Momentum, which had two sub-issues:
  - Improvement planning, action and review.
  - The pace of implementation.
- Integration, which had a number of sub-issues:
  - Multi-level use of the EFQM Excellence Model.
  - The use of the EFQM Excellence Model in strategic planning.
  - Alignment of the EFQM Excellence Model with other organisational systems.

4.2 Implementation Model Development literature

There are a number of articles, which offer advice on the development of implementation models. These are considered here in order that this knowledge can be included in the development of the theoretical framework for this study.

4.2.1 Phasing and Sequencing

A number of writers recommend that implementation should be planned and carried out in phases and that these phases should be sequenced. Spector & Beer (1994) take as their starting point that missed steps in the implementation of TQM will contribute in a lasting and significant way to the competitive effectiveness of an organisation. Motwani & Kumar (1997) propose a model for implementing TQM in education, which consists of five phases and Vrakking (1995) describes seven sub-phases of a total innovation process. Vrakking (1995, p.38) states that:

"One essential observation is that it is very important people realize beforehand that they must go through various separate phases that are discernible at the starting moment to achieve effective implementation".

Thiagaragan et al (2001, p.294) describe a framework for TQM implementation which offers:

"...a practical step-wise framework of "most critical first" and "least critical last" in addressing the KORs [key organisational requirements]".

So, again, the point is made that activities need to be conducted in steps or phases and there is an order or sequence to these steps that is of a critical nature. Spector & Beer (1994, p.65) describe a number of ingredients which must be present in TQM implementation and argue that there is a necessary sequence to their application:

"The above steps, in other words, are sequential and hierarchical: each ingredient forms a basis for the subsequent step. Organizations which violate the sequence will find their efforts weakened, and will be forced to return to and then address earlier overlooked steps".

Spector & Beer (1994, p.70) continue:

"The notion of sequencing may seem to be rather simple. But behind the huge failure rate of TQM interventions lies, in our view, regular violations of the sequence".

Clearly then, taking the right steps (or phases) towards implementation and in the right sequence is important in the construction of an implementation model.

4.2.2 Alternatives and Selection

Vrakking (1995) draws attention to the issue of considering alternatives and selecting from these alternatives as a stage to be passed through before starting on implementation. This helps to provide a focus or convergence for the implementation.

4.2.3 Non-Prescriptive and Flexible Frameworks

Hermel & Ramis-Pujol (2003, p.241) mention *"guiding"* as an important component of excellence and that guiding seems to be especially important in implementation efforts. Hermel & Ramis-Pujol (2003, p.241) argue:

"However, implementation is a somehow forgotten issue in management theory (Bartoli and Hermel, 1989). The myths of mechanical implementation are no longer broadly accepted as they were not long ago (Larsson et al, 2001). There is a new interest on guiding approaches instead of just applying pre-established recipes" (D'Aveni, 1995).

Chin & Pun (2002) refer to the UMIST-TQM framework and explain that it provides a means of developing and presenting plans in a non-prescriptive manner. Thiagaragan et al (2001) devised a framework for implementing TQM in Malaysian industry and the intent of this was not to be prescriptive whilst Jackson (2001) recommends not having a rigid plan for implementation. Thiagaragan et al (2001, p.293) continue:

"The quality management literature is clear that models and frameworks cannot take the responsibility from the management as to "how to go about implementing TQM"".

The purpose of Thiagaragan et al's (2001) study was to construct a TQM implementation framework that could be used as a guide in the selection and/or formulation of an effective implementation approach in a particular context. This view is supported by Jackson (2001) who observes that desired achievements were more likely recognised when organisations carefully evolved and moulded their own implementation package in a context specific way. Silvestro (2001, p.286) states that:

"It is envisaged that future models of TQM will consist not so much in a fixed set of precepts, but in a series of strategic and operational choices which service managers can consider in planning their implementation of TQM".

Hermel & Ramis-Pujol (2003, p.241) state that:

"Implementation is viewed not as a choice between options but instead as the "art of balancing" among those options".

Taylor & Hill (1992) researched into the implementation of TQM in Higher Education and concluded that there were a great many factors which moderate the likely success of a TQM initiative and so, rather than attempting to delineate a set of generic steps, it was more profitable to look at the mediating influences in the context of the organisation.

Therefore there is a strong argument for a framework that provides guidance for flexible implementation that fits the context rather than a prescriptive model for implementation.

4.2.4 Model Structure

The CMPS Civil Service College Directorate (2002) offers advice on how to use the EFQM Excellence Model. This does not go as far as offering a full implementation framework, rather it guides people through the self-assessment process. However there are some elements of their advice that are applicable in terms of where certain issues might be contained within a guidance framework for EFQM Excellence Model implementation. They suggest that the first stage is Plan and Prepare. This includes the elements of:

- Gaining commitment.
- Being clear about the reasons for carrying out an assessment.
- Deciding the timing of the assessment.
- Defining roles and responsibilities.
- Training.
- Communicating with the organisation.

Clearly then any issues that can be planned or prepared for need to be included early in the framework and this is supported by Thiagaragan et al (2001) who propose a three-stage approach to developing a framework for TQM implementation. The first stage involves *"the pre-TQM introduction stage"* and *"foundation factors"* (Thiagaragan et al 2001, p.294). Again the proposal is that issues which should be dealt with at the planning stage should be included in this first stage. Thiagaragan et al (2001) suggest that this first stage should include establishing a motive, setting up a steering group, improving understanding of what is happening, appointing a senior management champion, communicating the motives and ensuring the visibility of senior management's commitment. Motwani & Kumar (1997) offer a five phase model for TQM in education and the first two phases of deciding and preparing map roughly on to the first stage of Thiagaragan et al's (2001) approach. The deciding phase includes researching TQM and gaining top management support. The preparing phase includes setting the vision, assessing the culture and performing a quality assessment. Vrakking (1995, p.32) (figure 4.1) presents a model for *"a total innovation process"*. This is made up of four main phases, which are broken down into seven sub-phases.

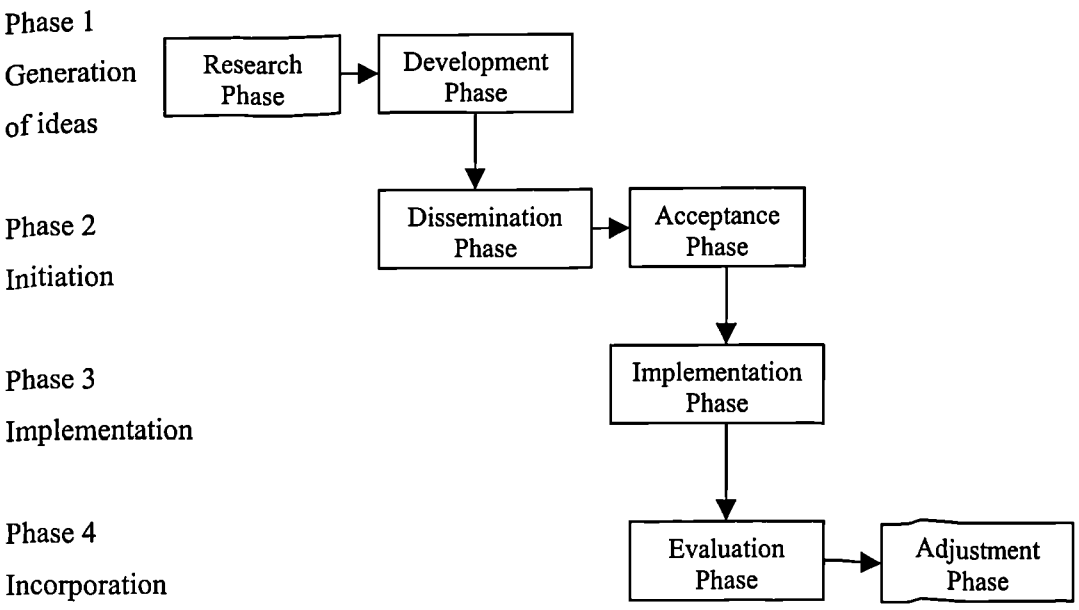

Figure 4.1: Phases in the innovation process (Vrakking 1995, p.32)

The first four sub-phases of Vrakking's model, the research phase, the development phase, the dissemination phase and the acceptance phase are very similar to, and cover many of the activities described in Motwani & Kumar's (1997) first two phases of deciding and preparing.

There is broad agreement then on the early phases of the implementation framework which need to cover research and decisions, motive and planning and preparing.

Thiagaragan et al's (2001) second stage then refers to the key organisational requirements for the early stages of TQM implementation, which include communication, training and the setting up of a reward and recognition programme. Motwani & Kumar (1997, p.134) then have a similar phase which they refer to as *"starting"*. This includes providing training and forming teams. Vrakking's (1995, p.32) corresponding phase is labelled simply the *"implementation phase"*.

Motwani & Kumar (1997, p.134) then move on to the phase of *"integrating/expanding"* in which ongoing education is provided and improvements are recognized and rewarded. Thiagaragan et al's (2001) final stage roughly corresponds with this and includes more communication and training.

Vrakking's (1995) final two phases of evaluation and adjustment map closely on to Motwani & Kumar's (1997, p.134) final phase of *"Evaluating"*, which includes evaluating the programme and making changes.

It is clear that none of the models reviewed here would be completely appropriate for providing a framework for the implementation of the EFQM Excellence Model in UK University academic units, as none of them were designed specifically for this purpose. However, much has been learned about the general structure that such a framework might have. The issues identified in chapters two and three and outlined above in 4.1.1 and 4.1.2 will now be mapped on to a phased model derived from this learning in order to produce a theoretical framework for this study (figure 4.2).

A number of the issues, marked with an asterisk (*) included in the theoretical framework have sub-issues within them, which are listed in sections 4.1.1 and 4.1.2 of this chapter. They have not been inserted into the theoretical framework so that the framework does not become unnecessarily complicated.

The issue of whether the EFQM Excellence Model had been applied throughout all departments in the universities at once or if a phased approach had been designed whereby some departments had applied it before others which emerged from chapter two, is included within the sub-issue of project pilot.

4.3 Rationale for the structure of the Theoretical Framework

As recommended in section 4.2.3, the framework provides guidance for flexible implementation that fits the context of UK Universities rather than a prescriptive model for implementation. The theoretical framework indicates issues to be taken into account and addressed by UK University academic units considering implementation of the EFQM Excellence Model. The theoretical framework does not dictate the specific activities that a unit should carry out to address the issues. For instance in the literature review, many approaches for communication were reviewed, however the choice of which method of communication might be best in a particular unit is best left to the unit which knows which mechanisms are already in place in the organisation.

In line with section 4.2.1, the theoretical framework has been set into phases, which are in a logical sequence. First of all a decision phase which centres around the motive for using the EFQM Excellence Model (from chapter 3). Issues included in this phase are consideration of the objectives and expected benefits from using the EFQM Excellence Model (from chapter 3), the consideration of alternative models (chapter 4) and support for the decision to use the EFQM Excellence Model (from chapter 3), and the intended uses of the EFQM Excellence Model (chapter 2).

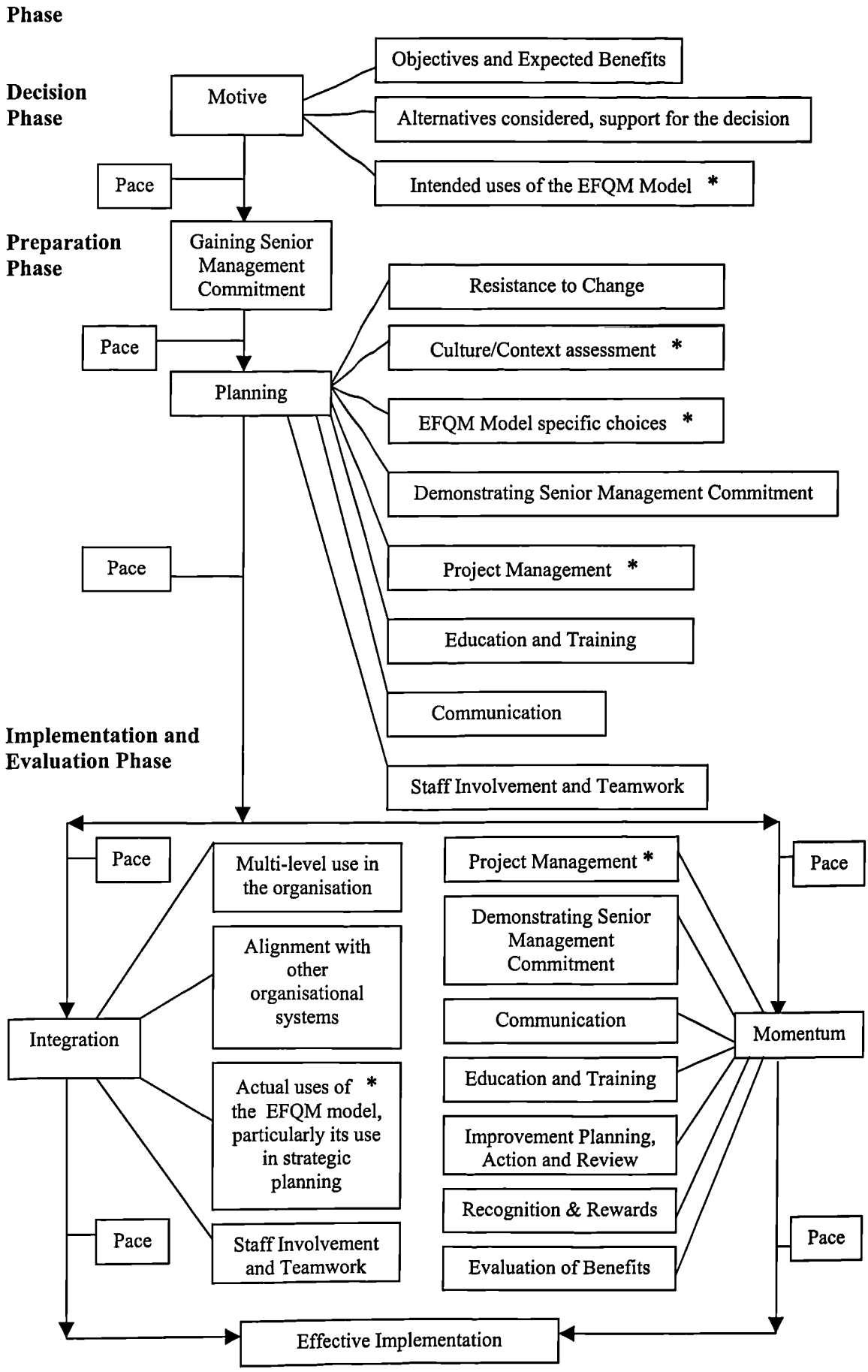

Figure 4.2: The Theoretical Framework

Secondly, there is a preparation phase, which starts with gaining senior management commitment (chapter 3). This has links back to the motive for using the EFQM Excellence Model and support for the decision to use it, which are contained within the decision phase of the theoretical framework. The author decided that the issue of gaining senior management commitment merited having its own 'box' on the 'main line' of the framework because of the great emphasis put on this issue by a plethora of authors in the literature review. It appears, from the literature, to be critical to effective implementation. Within the preparation phase, the other main issue is that of planning (chapter 3). Any issues which logically can be planned for or considered in advance have been placed here. Therefore the issues of resistance to change (chapter 3), culture/context assessment (chapter 3), EFQM Excellence Model specific choices (chapter 2), how senior management commitment might be demonstrated (chapter 3), arrangements for project management (chapter 3), arrangements for education and training (chapter 3), planning for communication about the implementation (chapter 3), and arrangements for staff involvement and teamwork (chapter 3) are included in this preparation phase. Within this phase there is an argument for examining resistance to change and carrying out a culture/context assessment at the first stage of planning as the outcomes from these could inform other issues within the framework, namely EFQM Excellence Model specific choices, how senior management commitment might be demonstrated, some elements of how the project is to be managed, the type of education and training needed, the communications plan, how to involve staff and use teamwork, and the types of recognition and rewards to be used. Within the literature review for these issues, there were a considerable number of references to issues of culture, context and resistance, which could be addressed through these issues.

The positioning and content of these first two phases of the theoretical framework have been informed by section 4.2.4 of this chapter on model structure. The review of other similar models revealed that there was broad agreement that the early phases should include research and decisions, motive, planning and preparing.

The final phase of the theoretical framework is the implementation and evaluation phase. Again the position of this is informed by section 4.2.4 of this chapter on model structure. Thiagaragan et al (2001), Motwani & Kumar (1997) and Vrakking (1995) all advocate an implementation phase in which the outcomes of the preparation phase are put into action. Vrakking (1995) and Motwani & Kumar (1997) recommend a final phase of evaluation. The author decided however to integrate implementation and evaluation into a single phase as several issues contained within this phase had methods for evaluation built into them. These were the evaluation of benefits, the review element of improvement planning, action and review, and the project progress monitoring element of project management. This obviated the need for a separate evaluation phase to the theoretical framework.

The final phase of implementation and evaluation is split into two parallel tracks based on the two main issues of integration and momentum revealed in the literature review (chapter 3). This splitting into two parallel tracks has been done because the issues included here occur simultaneously.

The left-hand track deals with the issue of integration, which contains issues that should help to embed or integrate the EFQM Excellence Model into the organisation. This section includes multi-level use in the organisation (chapter 3), alignment with other organisational systems (chapter 3), the actual uses of the EFQM Excellence Model, particularly its use in strategic planning (chapter 2 and 3), and staff involvement and teamwork (chapter 3).

The second track of the implementation and integration phase is based on the issue of momentum (chapter 3). This includes the issues of project management (chapter 3), demonstrating senior management commitment (chapter 3), communication (chapter 3), education and training (chapter 3), improvement planning, action and review (chapter 3), recognition and rewards (chapter 3) and the evaluation of benefits (chapter 3). All these issues have the potential to either aid or hinder the momentum of the implementation.

In the literature review in chapter 3, the issue of the pace of implementation was included in the section on momentum. Clearly this issue is a pervasive one that needs to be considered in all phases, not just the implementation and evaluation phase. Therefore pace has been included as an issue to be considered in all phases. The literature supports the view that if the pace at any phase is too fast, then it is likely to encourage resistance to the change and if it is too slow then the momentum could be lost (section 3.4.2, chapter 3).

The theoretical outcome of the framework is effective implementation of the EFQM Excellence Model.

4.4 Chapter Summary

In this chapter, the issues which emerged from the two literature review chapters have been considered along with literature on the development of implementation models to construct a theoretical framework for this study. This theoretical framework will be used to inform the design of the research tools to be employed in gathering primary data on the attempted implementation of the EFQM Excellence Model in UK University academic units. This will be described in detail in the next chapter on research methodology (chapter 5). The construction of this theoretical framework has contributed to the achievement of the objective: *To explore and analyse the approaches used in attempted implementation of the EFQM Excellence Model in a*

number of UK University case studies in order to discover the critical issues for effective implementation.

CHAPTER 5

RESEARCH METHODOLOGY

5.0 Chapter Introduction

In this chapter the research methodology for this study will be addressed. The methodology is the overall approach to the research process (Hussey & Hussey, 1997). This is not to be confused with the research methods which are the various means by which data can be collected and analysed (Hussey & Hussey, 1997).

The contents of this chapter will describe *what* was done, *how* it was done and, very importantly *why* it was done, i.e. for each choice made in methodology and methods, a rationale will be presented in order to demonstrate the rigour of the research process. Rigour has been defined as: *"The quality of being logically valid"* (www.dictionary.co.uk, 2003).

"The following of high standards of behavior, actions, and rules" (Newbury House Online Dictionary, 2003).

In order to justify the research strategy, methodology and methods chosen, references are made in the chapter to both research methods texts and academic papers reviewed as part of the literature review, which explained the writers' own approaches (strategies, methodologies and methods) to conducting similar, recent studies. Thus, the approaches used in this research will be informed by both acknowledged experts in research methodology and fellow researchers who have researched into similar and related topics.

This chapter contains sections on the choice of research strategy, the research design, preparation for data collection and methods for the analysis of case study data.

5.1 Choice of Research Strategy

The choice of the correct research strategy is clearly fundamental to any piece of research. This section addresses the reasons why the case study strategy was deemed appropriate for this study.

Yin (1994) argues that there are three main purposes of research; exploratory, descriptive or explanatory and five main research strategies; experiment, survey, archival analysis, history and case study. Yin (1994) then goes on to describe three conditions which need to be considered in order to distinguish the most appropriate research strategy to be employed. These three conditions are:

(a) The type of research question posed.

(b) The extent of control an investigator has over actual behavioural events.

(c) The degree of focus on contemporary as opposed to historical events.

Yin (1994, p.6) provides a table to aid in selecting the most appropriate research strategy (table 5.1, below):

Strategy	Form of Research Question	Requires control over behavioural events	Focuses on contemporary events
Experiment	How, Why	Yes	Yes
Survey	Who, What, Where, How many, How much	No	Yes
Archival Analysis	Who, What, Where, How many, How much	No	Yes/No
History	How, Why	No	No
Case Study	How, Why	No	Yes

Table 5.1: Relevant Situations for Different Research Strategies

The three conditions listed above (Yin 1994) will now be discussed with respect to this research study in order to justify the choice of research strategy:

(a) The type of research question posed.

In order to address this, the aim and objectives of the research, and the research questions posed in chapter 1 will be revisited.

The aim of this research is to **examine** how the EFQM Excellence Model implementation process has been conducted in a number of cases in UK University academic units with a view to developing a guidance framework for implementation of the EFQM Excellence Model in this particular context. The objectives are:

- To **identify** the issues that impact on the implementation of the European Foundation for Quality Management's (EFQM) Excellence Model in the UK University academic environment.
- To **assess** the effectiveness of the implementation of the EFQM Excellence Model in the case study organisations.
- To **explore** and **analyse** the approaches used in attempted implementation of the EFQM Excellence Model in a number of UK University case studies in order to **discover** the critical issues for effective implementation.
- To **explain** why the implementation of the EFQM Excellence Model was effective or ineffective in a number of cases in UK University academic units by reference to the theoretical framework.

The primary research question is:

How can the EFQM Excellence Model be effectively implemented in United Kingdom University academic units?

The secondary research questions are:
What are the issues that impact on the implementation of the European Foundation for Quality Management's (EFQM) Excellence Model in the UK University academic environment?

What are the possible uses of the EFQM Excellence Model?

How was implementation of the EFQM Excellence Model attempted in a number of UK University case studies?

Why was the implementation of the EFQM Excellence Model effective or ineffective in a number of cases in UK University academic units?

The operational words within the above aim and objectives have been bolded. Thus the research is about **examining, identifying, assessing, exploring, analysing, discovering** and **explaining.** These verbs point to the research being both exploratory, i.e. *identifying, exploring* and *discovering*, and also explanatory, i.e. *examining, assessing, analysing* and *explaining.*

The forms of research question contained in Yin's (1994) table 5.1 are, *who, what, where, how, why, how many* and *how much.* The aim of this research is to examine **how** the EFQM Excellence Model implementation process has been conducted in a number of cases in UK University academic units with a view to developing a guidance framework for implementation of the EFQM Excellence Model in this particular context. The primary research question is **how** can the EFQM Excellence Model be effectively implemented in United Kingdom University academic units? The secondary research questions ask two **what** questions, a **how** and a **why** question. The final research objective is to explain **why** the implementation of the EFQM Excellence Model was effective or ineffective in a number of cases in UK University academic units. Clearly then this research is predominantly posing *how* and *why* questions. According to Yin (1994), the types of strategy best suited to answering *how* and *why* questions are experiment, history and case study.

(b) The extent of control an investigator has over actual behavioural events.
The author of this thesis (the investigator) had no control over the actual behavioural events that took place in the universities that were attempting to implement the EFQM Excellence Model and so the possibility of using an experimental strategy, in which variables or factors can be controlled, is removed. This leaves a choice between the historical and case study strategies.

(c) The degree of focus on contemporary as opposed to historical events.

The focus of this research is on contemporary events rather than historical events. Thus the historical research strategy is not the most appropriate strategy. Yin (1994, p.8) argues that the distinctive contribution of the historical strategy is in dealing with the *"dead"* past, when no relevant persons are alive to report what occurred and when an investigator must rely on primary documents, secondary documents, and cultural and physical artifacts as the main sources of evidence.

Thus the case study strategy is the most appropriate research strategy for this study as a *how* question is being asked about a contemporary set of events over which the investigator has no control. This reasoning is further supported when the issue of context is taken into consideration. Yin (1994, p.13) states that:

"A case study is an empirical inquiry that

- *Investigates a contemporary phenomenon within its real-life context, especially when*
- *The boundaries between phenomenon and context are not clearly evident.*

In other words, you would use the case study method because you deliberately wanted to cover contextual conditions - believing that they might be highly pertinent to your phenomenon of study".

Stake (1994) argues that cases are opportunities to study phenomena. This view is supported by Hussey & Hussey (1997) who describe a case study as an extensive examination of a single instance of a phenomenon of interest, and argue that the importance of the context in which the phenomenon is occurring is essential. The theoretical framework for this study, which was derived from the literature review, includes context/culture as an issue that could be pertinent to the phenomenon of study (the implementation of the EFQM Excellence Model). The context being UK University academic units.

Thus the case study strategy is appropriate when context could be important, as is the situation in this study. Bardoel & Sohal (1999) observed that the use of case study based research to explore TQM issues had been gaining momentum in the few years before their study. They pointed to two recent studies in which it was found that the case study approach had particular applicability to the evaluation of TQM projects. These studies showed that this method provided the contextual detail that is often missing from other methods such as surveys. Leonard & McAdam (2002a) researched into the role of the EFQM Excellence Model in operational and strategic decision making and recommend, for this type of study, that a phenomenological perspective is taken to gain insights into people's perspectives of a phenomenon. Dale (see Silvestro 2001, p.260) advocated case study based research as the most fruitful for empirical studies of TQM. Hartley (see Downey-Harris & Harrington 2002, p.72) argues that, because the context is deliberately part of the design of a case study, there will always be too many variables

for the number of observations made. Consequently the application of standard experimental and survey designs and criteria is not appropriate.

Thus the case study strategy is deemed the most appropriate research strategy for this study.

5.2 Research Design

Research design provides the link between the questions that the study is asking, the data that is to be collected and the conclusions drawn (Robson, 1994). Yin (1994) has described the research design as the logical sequence that connects the empirical data to a study's initial research questions and, ultimately, to its conclusions. In other words, the research design can be thought of as a blueprint dealing with at least four problems: what questions to study, what data are relevant, what data to collect, and how to analyse the results. Yin (1994) continues that the main purpose of the research design is to help avoid the situation in which the evidence does not address the initial research questions.

The research design for this study is presented as a flow diagram in figure 5.1.

Yin (1994) states that a research design is supposed to represent a logical set of statements and so the quality of any given design can be judged according to certain logical tests. He goes on to say that four tests have been commonly used to establish the quality of any empirical social research and, because case studies are one form of such empirical research, the four tests are also relevant to case study research. There are a number of case study tactics, which can be employed to deal with these four tests when doing case studies. Table 5.2 (Yin 1994, p.33) summarises the four tests, the case study tactics and the phase of the research in which the tactic occurs.

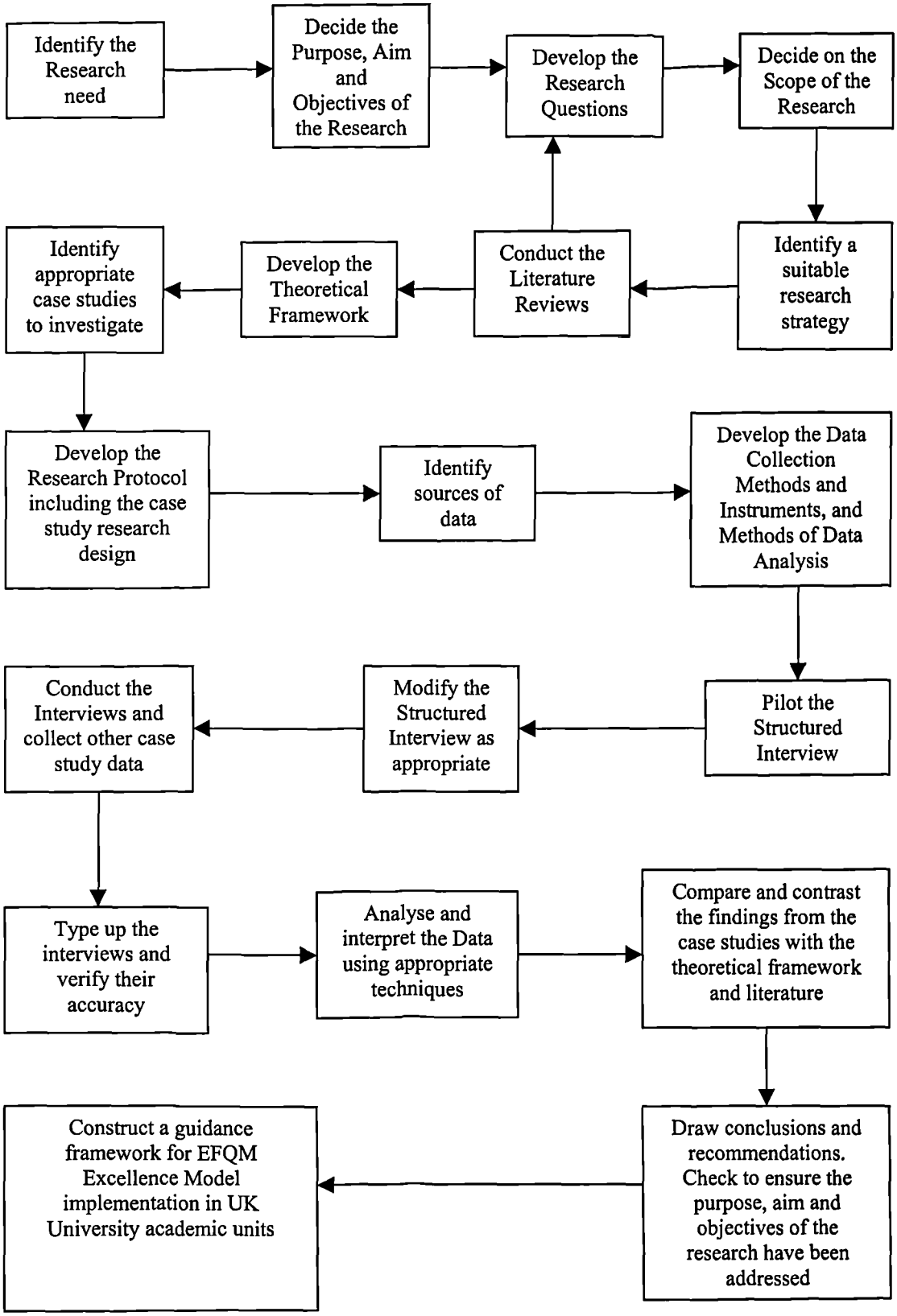

Figure 5.1: The Research Design for this Study

Tests	Case Study Tactic	Phase of Research in which tactic occurs
Construct Validity	• use multiple sources of evidence • establish chain of evidence • have key informants review draft case study report	• data collection • data collection • composition
Internal Validity	• do pattern-matching • do explanation-building • do time-series analysis	• data analysis • data analysis • data analysis
External Validity	• use replication logic in multiple cases	• research design
Reliability	• use case study protocol • develop case study data base	• data collection • data collection

Table 5.2 Case Study Tactics for Four Design Tests

In order to ensure the above tests could be met, the appropriate tactics were employed in the appropriate phases of the research. The details of how the tactics were employed are contained in the relevant sections of this chapter.

Kidder & Judd (see Yin 1994, p.33) define the tests as follows:

Construct validity: establishing correct operational measures for the concepts being studied.

Internal validity: establishing a causal relationship, whereby certain conditions are shown to lead to other conditions, as distinguished from spurious relationships.

External validity: establishing the domain to which a study's findings can be generalised.

Reliability: demonstrating that the operations of a study - such as the data collection procedures can be repeated, with the same results.

5.2.1 Case Study Research Design

This section of the chapter deals with issues in case study research design, namely, the components of case study research design, types of case study design and the selection of cases.

5.2.1.1 Components of Case Study Research Design

Yin (1994) identifies five important components of case study research design:

1. a study's questions,
2. its propositions, if any, or its purpose,
3. its unit(s) of analysis,
4. the logic linking the data to the propositions or purpose, and
5. the criteria for interpreting the findings.

1. The Study's Questions

The research question for this study was presented in chapter one and led to the selection of the case study research strategy.

2. Study Propositions or Purpose

According to Yin (1994, p.21):

"...each proposition directs attention to something that should be examined within the scope of the study".

In this study the propositions of the study have been presented as *issues* in the summaries to the two literature review chapters, chapters two and three. These issues were then incorporated into the theoretical framework, which was developed in chapter four. This theoretical framework will be used to design the research tools to be employed in gathering primary data from the case studies. The overall propositions derived from the literature reviews and theoretical framework are stated here for ease of reference.

For the EFQM Excellence Model to have been effectively implemented in a UK University academic unit the following is likely to have occurred:

- A clear motive would have been established at an early stage. This would have included:
  - Establishing the objectives and expected benefits of using the EFQM Excellence Model.
  - Alternatives to the EFQM Excellence Model would have been considered in order to strengthen the support for the decision to use the EFQM Excellence Model.
  - The intended uses of the EFQM Excellence Model would have been established.
- Senior management commitment would have been gained at an early stage, aided by the establishment of a clear motive.
- Planning would have occurred before starting to use the EFQM Excellence model. This planning would have included:
  - An assessment of resistance to change.
  - An assessment of the culture/context.
  - Choices specific to the use of the EFQM Excellence Model would have been made.
  - Plans for how senior management commitment was to be demonstrated would have been made.
  - Arrangements for project management would have been put in place.
  - A plan for education and training would have been devised.
  - Communications would have been considered, resulting in a plan for communications about the implementation.
  - Plans would have been made for how to involve staff and set up teams.
- Integration of the use of the EFQM Excellence model into the organisation would have taken place via:
  - Multi-level use of the EFQM Excellence Model in the organisation.
  - Alignment of the EFQM Excellence Model with other organisational systems.
  - The use of the EFQM Excellence Model within the organisation in a number of ways (as intended at the motive phase), particularly in strategic planning.
  - Staff involvement with the use of the EFQM Excellence Model, particularly in teams.
- Momentum of the implementation would have been maintained through:
  - Project management, particularly project progress monitoring.
  - Senior management commitment being demonstrated.
  - Communication about the implementation taking place.

    - Education and training in how to use the EFQM Excellence Model.
    - Improvement Planning, Action and Review taking place after EFQM Excellence Model self-assessment to progress improvements in the organisation.
    - The use of recognition and rewards that would have been planned as part of the culture/context assessment.
    - The benefits of using the EFQM Excellence Model would have been evaluated.
- The actions needed to integrate the EFQM Excellence Model into the organisation and the actions needed to maintain the momentum of the implementation would have occurred in parallel to each other and would have been facilitated by the planning which occurred earlier.
- The pace of the implementation would have occurred at a pace that was fast enough to maintain the momentum, but not so fast as to promote resistance to the change.

For the EFQM Excellence Model to have been ineffectively implemented in a UK University academic unit the following is likely to have occurred:

- A clear motive would not have been established at an early stage. Objectives and expected benefits would not have been established, alternatives to the EFQM Excellence Model would not have been considered to help strengthen the support for the decision to use it and the intended uses of the EFQM Excellence Model would not have been established.
- Senior management commitment would not have been gained. This could have been influenced by the lack of an established motive.
- Some or all of the elements of planning would not have been carried out:
    - An assessment of resistance to change would not have been carried out.
    - An assessment of the culture/context would not have taken place.
    - Choices specific to the use of the EFQM Excellence Model would not have been made.
    - There would have been no plans for how to demonstrate senior management commitment.
    - Arrangements for project management would not have been put in place.
    - A plan for education and training would not have been devised.
    - Communications would not have been considered and therefore there would have been no plan for communication about the implementation.
    - There would be no plan for how to involve staff and set up teams.
- The EFQM Excellence Model would not have been integrated into the organisation as one or more of the following would not have occurred:
    - The EFQM Excellence Model would not be being used in multi-levels of the organisation.
    - The EFQM Excellence Model would not have been aligned with other organisational systems.
    - The EFQM Excellence Model would not have been used in a number of ways as initially intended and, particularly, it would not have been used in strategic planning.
    - Staff would not have been involved in the use of the model, particularly the staff would not have worked in teams.
- Momentum would have been lost because of one or more of the following:
    - Inadequate project management, particularly project progress monitoring and/or a shortage of resources.
    - Senior management commitment had not been demonstrated.
    - Communication about the implementation had not taken place.
    - Education and training in how to use the EFQM Excellence Model had not occurred.
    - Improvement planning, action and review had not taken place after self-assessment.
    - Recognition and rewards had not been used.
- Some of the causes of the loss of momentum could have their roots in the lack of planning in the preparation phase.
- The actions needed to integrate the EFQM Excellence Model into the organisation and the actions needed to maintain momentum would not have occurred in parallel to each other.

- The pace of the implementation would have been either too slow, resulting in a loss of momentum or too fast, resulting in resistance to the change.

3. Unit of Analysis

This is related to defining what the "case" is. In this study the "case" is both an event, the implementation process in a UK University academic unit and the academic unit (School or Faculty). This follows from the research question; *How can the EFQM Excellence Model be effectively implemented in United Kingdom University academic units?*

Yin (1994) advocates that specific time boundaries are needed to define the beginning and end of the case. For this study, the beginning of a case is the point in time at which the EFQM Excellence Model was being considered for use in the UK University academic unit. The end is the point in time when the three-year HEFCE funded projects finished (May 2003). Yin (1994) also recommends that *who* was involved in the event is determined. At the top level the *who*, the unit of analysis, was the School or Faculty that was attempting to implement the EFQM Excellence Model. At the personal level this was determined by discussing the issue with the project managers in the case study organisations after the interview questions had been developed. It was clear that, in each case, only a few individuals would have knowledge of the whole (or substantial parts) of the implementation process to the depth required by the interview questions. The topic of *who* will be revisited in more detail later in this chapter when the selection of interviewees is addressed (section 5.3.3.1.2.3).

4. The Logic linking the Data to the Propositions or Purpose

This will be dealt with in more detail in the later section 5.3.3, Data Collection Methods and Instruments. The interview questions asked and the documents reviewed, and thus the data gathered, was linked back to the theoretical framework that was developed in chapter 4. This in turn was developed from the *issues* (or propositions) identified in the literature reviews. Hence this will provide the logic linking the data to the propositions.

5. The Criteria for interpreting the Findings.

In terms of the overall assessment of whether implementation of the EFQM Excellence Model had been effective in the UK University academic units, as stated in chapter 1, the author will argue that the EFQM Excellence Model would have been effectively implemented when its use has been integrated into the regular management practices of the organisation. This is based on the definition of *effectively implemented* described in section 1.4. Also if an organisation was actually using the EFQM Excellence Model in the way that it intended, then it could be argued that it had been successfully implemented.

The methods of analysis for the case study data will be described later in section 5.4, however the theoretical framework developed in chapter 4 will form the main basis for interpreting the findings from the case studies. This will maintain the link between the propositions and the data as described in sub-section 4 above.

5.2.1.2 Types of Case Study Design

Yin (1994) indicates that there are four types of case study design:

(a) single-case (holistic) designs,
(b) single-case (embedded) designs,
(c) multiple-case (holistic) designs, and
(d) multiple-case (embedded) designs.

He continues that a primary distinction in designing case studies is between single and multiple case designs. This means that a decision is needed, prior to any data collection, on whether a single-case study or multiple-cases are going to be used to address the research questions.

The single-case study is an appropriate design where it represents the critical case in testing a well-formulated theory, or the case represents and extreme or unique case, or the case is revelatory (the phenomenon was previously inaccessible to investigation) (Yin, 1994). In terms of this study, as there were a number of potential cases of the implementation of the EFQM Excellence Model in UK University academic units, which could be investigated that the author was aware of, then it was not possible that a single case from within these could be claimed to be critical, extreme or unique. A single case from within them could have been claimed to be revelatory, as the author was aware that no rigourous research had been carried out into any of the implementation processes (the focus of the evaluation of the two HEFCE funded projects was on whether the EFQM Excellence Model provided benefits in HE and therefore if it was useful in this context). However the author could not guarantee that this would remain the situation for the length of his research study. If another researcher had carried out a similar study on one of the cases in the same timeframe as this study, then the claim to it being a revelatory case would have been lost and hence the justification for conducting a single-case study would have been flawed. This was a concern to the author who was aware of the need in a PhD for original work, which contributes to knowledge. Hence a decision was made to conduct multiple-case studies. In addition to this defensive reason, there were also a number of positive reasons for using multiple-cases, which will be explained later.

When a single case involves more than one unit of analysis, then this is termed an embedded case. In this study, there were no embedded cases. Even though two of the cases of implementation were in University Faculties that consisted of a number of Schools, the author

was aware through discussions with the project managers, that the implementations were planned and managed at a Faculty level. Thus the Schools could not be viewed as embedded cases of implementation. Instead they were holistic cases, which looked at the global nature of the implementation in the academic units (Yin, 1994).

5.2.1.3 Selection of Cases

So a multiple-case design made up of holistic cases was chosen. According to Herriot & Firestone (see Yin 1994, p.45), the evidence from multiple cases is often considered more compelling, and the overall study is therefore regarded as being more robust. Yin (1994, p.45) argues that every case should serve a specific purpose within the overall scope of inquiry and this is supported by Schofield (see Brunetto, 2001, p.472) who argues that generalisations about processes are possible as long as the study uses multi-case sites and each site is specifically chosen based upon its fit with a typical situation. Yin (1994, p.45) suggests that multiple cases should be considered as one would consider multiple experiments, following a *"replication"* logic. Yin (1994, p.45) states that this is far different from the mistaken analogy, which incorrectly considered multiple cases to be similar to the multiple respondents in a survey using a *"sampling"* logic.

Yin (1994) states that each case in a multiple case study must be carefully selected so that it either:

(a) predicts similar results (a literal replication), or

(b) produces contrasting results but for predictable reasons (a theoretical replication).

Yin (1994) recommends a mixture of literal and theoretical replications, which, if all the cases turned out as predicted, would provide compelling support for the initial set of propositions.

Yin (1994) again stresses the importance of the theoretical framework, which needs to state the conditions under which a particular phenomenon is likely to be found (a literal replication) as well as the conditions when it is not likely to be found (a theoretical replication). For this study, the theoretical framework which was developed in chapter 4, indicated the issues (the conditions) thought likely to be necessary for the phenomenon (effective implementation) to be found, and the conditions (issues) when the phenomenon is not likely to be found (i.e. ineffective implementation). These have been stated earlier in section 5.2.2.1 as a series of propositions. The theoretical framework becomes the vehicle for generalising to new cases and, if some of the cases do not work as predicted, modification must be made to the theory. Hussey & Hussey (1997) support the views of Yin (1994) and state that similar cases will help to show if the theory can be generalised and dissimilar cases will help to extend or modify any theory. Yin (1994) stresses the need to distinguish the replication logic applied to experiments or case

studies, as is described above, and the sampling logic, which is commonly used in surveys. Surveys tend to be used to determine the frequency of a particular phenomenon. In sampling logic, the number of potential respondents is determined and then a statistical procedure is used to select a specific subset of respondents to be surveyed (the sample). The resulting data from the sample are assumed to reflect the entire pool of respondents. Yin (1994) then argues that any application of this sampling logic to case studies would be misplaced for three reasons:

- Case studies should not generally be used to determine the incidence of phenomena.
- A case study would have to cover both the phenomenon of interest and its context, yielding a large number of potentially relevant variables. This in turn would require an impossibly large number of cases, which would be too large to allow any statistical consideration of the relevant variables. The sampling logic would not allow the variables to be investigated in sufficient depth to answer the research question.
- If a sampling logic had to be applied to all types of research, many important topics could not be empirically investigated. These are situations in which there are a large number of relevant variables impacting on a phenomenon and there are few cases of the phenomenon in existence, which is the situation with this research study. This type of study could not be done with sampling logic, but is eminently feasible using replication logic.

Thus, in terms of the number of cases deemed sufficient for a study, the typical criteria regarding sample size are irrelevant because sampling logic should not be used. Instead, the decision is about the number of literal and theoretical replications to include in the study (Yin, 1994). Hussey & Hussey (1997) agree with this logic and state that it is not usually necessary to find a representative case or set of cases because statistical generalisations are not being attempted to generalise from a sample to a larger population. However, they continue, the researcher may be attempting theoretical generalisations where it is proposed that the theory applied in one set of circumstances can be generalised to another. According to Yin (1994) the selection of the number of replications depends on the certainty required in the multiple case results. The greater certainty lies with the larger number of cases. For the number of theoretical replications, the important consideration is the complexity of the realm of external validity (the domain to which a study's findings can be generalised). When a researcher is uncertain whether external conditions will produce different case study results, then a larger number of theoretical replications should be identified. The author noted, however, that Yin often describes his experience in large-scale social investigations in which a team of researchers is available to conduct the research. This is clearly not feasible for an individual PhD student. Cresswell (1998) however warns that the more cases an individual studies, the greater the lack of depth in any single case and typically a researcher would choose no more than four cases. Downey-Harris & Harrington (2002) describe how the selection of cases was an important concern in their research into quality approaches in Irish healthcare and considerable time was expended in identifying appropriate cases. Stake (1994) states that understanding the critical phenomena may depend on choosing the case well and argues that nothing is more important than making a proper selection of cases. Thus a balance needs to be achieved between the certainty needed for generalisation and the depth of investigation into each case. Care must be taken in the selection

of appropriate cases. The next paragraph demonstrates the care taken by the author in the selection of cases.

The scope of this research was outlined in section 1.5 and detailed in the above section on units of analysis. To summarise, the cases were to be UK University academic units who were part of the two consortia funded by HEFCE to evaluate the use of the EFQM Excellence Model. In order to get an initial assessment of the number and type of potential cases, the author spoke to the project directors for each of the two consortia in January 2003. These discussions revealed that, across the two consortia, there were only five cases of implementation in university academic units. There were two HE colleges and one FE/HE college, which were implementing the EFQM Excellence Model, and across the consortia there were numerous cases of it being implemented in administrative support areas. Having identified the number of potential cases that fell within the scope of this research project, the author proceeded to enquire about the degree of success in implementation in each of these cases, in the view of the project directors. In their views, two of the implementations had made good progress, whilst three were struggling to make progress. To confirm this view, the author then spoke with the five project managers for the relevant cases. The project managers confirmed the views of the project directors on the degree of success in implementation. The author also made enquiries with the five project managers as to the number of staff in each academic unit who might be able to provide an insight into either the whole of the implementation process or significant portions of it. The responses indicated that very few staff in each of the cases would be in a position to provide the necessary insight. In all of the five cases, it was revealed that only a handful of staff had been involved with significant portions of the implementation process. In one case, the high number of changes in the management group responsible for the implementation meant that only four staff were in a position to offer this insight. This information was taken into consideration when the detail of the data collection methods and instruments was decided.

The author was aware that the data collection methods and instruments would have to be piloted before full-scale use and so one case would need to be used for this purpose. The details of this pilot are described in section 5.3.3 on data collection methods and instruments. The author made the decision to pilot the data collection methods and instruments in one of the cases in which progress with the implementation was proving to be difficult. This was for two reasons, firstly, that a case which was perceived to be struggling to make progress would be likely to have encountered a number of problems in implementation and thus this would offer a check on the issues in the data collection instrument which were derived from the literature, i.e. this would provide a substantive check on the content of the interview questions in addition to covering methodological issues in the protocols and interview questions (Yin, 1994). Secondly, that this would leave two cases perceived to be successful in implementation and two cases

viewed to be struggling with implementation, to be investigated in depth. This would provide two literal replications (the two 'successful' cases) and two theoretical replications (the two 'unsuccessful' cases) according to Yin's (1994) classification, which was explained earlier in this chapter.

The issue of anonymity was raised by two of the project managers when the author was negotiating access to the potential case study organisations. They indicated that they were prepared to provide access to the author on the condition that the cases were anonymised. This was because of the potentially sensitive nature of the topic of the research, i.e. the effectiveness of the implementation. It was agreed therefore that all the cases would be anonymised so that a third party reading the case would not be able to identify the organisation involved. However the cases could not be anonymised at the level of the individual, as the position of the interviewee in the organisation and thus their perspective on the implementation would provide important insights into the issues. Thus the interviewees would be able to be identified by staff from within the case through their identified roles.

5.2.2 Theory Development

Yin (1994) stresses that, for case studies, theory development as part of the design phase is essential. The reason for this is to provide guidance in determining what data to collect and the strategies for analysing the data. In this study, the theoretical framework presented in chapter 4 was informed by a comprehensive review of the relevant literature (chapters 2 and 3) and this theoretical framework will be the main vehicle for generalising the results of the case studies.

According to Yin (1994), the appropriately developed theory is the level at which the generalisation of the case study results will occur. Yin (1994, p.30) refers to this as *"analytic generalization"*. The previously developed theory is used as a template with which to compare the empirical results of the case study. As this impacts on the analysis of data, the issue of the generalisability of case study findings will be dealt with in more detail in section 5.4, methods for the analysis of case study data.

5.3 Preparation for Data Collection

Before data collection could be begin in the identified cases, significant preparation was required in order to ensure that the issues of validity and reliability discussed earlier in this chapter were properly addressed. Yin (1994) advises that the preparation for doing a case study includes the development of a case study protocol, an assessment of the prior skills of the investigator, the training and preparation for the specific case study and the piloting of the protocols and data collection instruments.

5.3.1 Protocol Development

A case study protocol is more than an instrument. The protocol contains the instrument but also contains the procedures and general rules that should be followed in using the instrument. A case study protocol is essential when using a multiple-case design, as the protocol is a major tactic in increasing the reliability of case study research (Yin, 1994). According to Yin (1994), the protocol should have the following sections:

- An overview of the case study project, including the research question(s). As there was only a single investigator in this study (the author), it was not necessary to go into the greater detail that Yin (1994) suggests is needed in this section to brief multiple investigators.
- Field procedures. These include:
  - Gaining access to organisations, interviewees and documents as sources of information.
  - A schedule of activities, e.g. interviews, document retrieval.
  - Agreement on the recording of interviews.
  - The information provided to the interviewees prior to the interviews.
  - The resources needed to collect the data.
  - Procedures for recording, transcription and verification of interviews.
  - Procedures for document filing and storage.
- Case study questions.
  - The specific questions to bear in mind when collecting data in the field to keep the investigator on track as data collection proceeds.
  - A list of probable sources of evidence for each question
- Guide for the case study report:
  - The format.
  - Consideration of the intended audience for the report.
  - Consideration of which documents to include in the report and which to place in the case study database.

The guide for the case study report helps to ensure that relevant data is collected and reduces the possibility of having to visit the case study site for further data.

The protocols for this study took the form of the notes for the project managers and interviewees in the case study organisations (appendix 3 and appendix 4), which detailed the data gathering procedures to be employed

5.3.2 Principles of Evidence and Data Collection

Yin (1994) describes six major sources of evidence; documents, archival records, interviews, direct observation, participant-observation and physical artifacts. Each of these sources has strengths and weaknesses as indicated in Table 5.3 below. It can be seen that no single source has a complete advantage over all the others. Instead it can be seen that the sources are complementary. Therefore a combination of sources strengthens the data collection by the strengths of one source canceling out the weaknesses of another source and vice versa. This will be dealt with in more detail in section 5.3.2.5 on *multiple sources of evidence.*

Of the six possible sources the ones that were possible in this study were documentation, archival records, interviews and participant observation (partially in one of the four cases). Direct observation was not possible. To have observed four cases over 3 years was clearly not feasible (and the study was retrospective), neither was it feasible to observe any discrete elements of the implementations as they had already occurred (except in the case where the author was partly a participant observer. This will be explained more thoroughly later in this chapter). The implementation of the EFQM Excellence Model in UK University academic units is not a process that yields physical artifacts and so this was not an appropriate source of evidence in this study.

Source of Evidence	Strengths	Weaknesses
Documentation	• Stable - can be reviewed repeatedly • Unobtrusive - not created as a result of the case study • Exact - contains exact names, references, and details of an event • Broad coverage - long span of time, many events, and many settings	• retrievability - can be low • biased selectivity, if collection is incomplete • reporting bias - reflects (unknown) bias of author • access - may be deliberately blocked
Archival Records	• [same as above for documentation] • precise and quantitative	• [same as above for documentation] • accessibility due to privacy reasons
Interviews	• targeted - focuses directly on case study topic • insightful - provides perceived causal inferences	• bias due to poorly constructed questions • response bias • inaccuracies due to poor recall • reflexivity - interviewee gives what interviewer wants to hear
Direct Observations	• reality - covers events in real time • contextual - covers context of event	• time consuming • selectivity - unless broad coverage • reflexivity - event may proceed differently because it is being observed • cost - hours needed by human observers
Participant Observation	• [same as above for direct observations] • insightful into interpersonal behaviour and motives	• [same as above for direct observations] • bias due to investigator's manipulation of events
Physical Artifacts	• insightful into cultural features • insightful into technical operations	• selectivity • availability

Table 5.3: Six Sources of Evidence: Strengths and Weaknesses (Yin, 1994, p.80)

5.3.2.1 Documentation

Yin (1994) suggests that a variety of documents might be available to the case study investigator, such as:

- Letters, memoranda, and other communiques.
- Agendas, announcements and minutes of meetings, and other written reports of events.
- Administrative documents - proposals, progress reports, and other internal documents.
- Formal studies or evaluations of the same "site" under study.
- Newspaper clippings and other articles appearing in the mass media.

Savolainen (1999) accessed multiple written documents in his case studies, which investigated continuous improvement. Krasachol & Tannock (1999) also employed document reviews in their study of TQM implementation in Thailand. Silvestro (2001) reviewed a variety of documents in his research into TQM implementation.

Specifically, the sort of documents that the author thought might have been available in this study were:

- Letters, memoranda.
- Agendas and minutes of meetings.
- Reports.
- Project plans, progress reports.
- Strategic or business plans.
- Evaluation reports for the HEFCE funded projects.
- Newsletters.
- Presentations.
- Self-assessment reports.
- Improvement planning, action and review documents.

The author wrote to the project manager in each of the four cases prior to the site visit (see appendix 3) and indicated the types of document that he would like to access. Each of the project managers was happy for the author to search through their project files for the EFQM Excellence Model implementation and to copy and take away any documents that the author thought were relevant to the investigation.

The most important use of documents in case studies is to corroborate and augment evidence from other sources (Yin, 1994). Silvestro (2001) used case study documents to corroborate the interviews in his case studies of TQM implementation.

5.3.2.2 Archival Records

The archival records deemed relevant to this study were organisational charts (to provide part of the background to the case study organisation) and the personal diaries of the interviewees (to confirm important dates and events in the implementation process). The wish to access personal diaries was communicated to both the project managers via appendix 3 and the individual interviewees via appendix 4.

5.3.2.3 Interviews

Yin (1994) states that interviews are one of the most important sources of information in case studies. He continues that interviews are an essential source of case study evidence because most case studies are about human affairs and these human affairs should be reported and interpreted through the eyes of specific interviewees who can provide important insights into a situation. With these points in mind, the author paid particular attention to the design and conduct of the interviews in this study. Gosse (see Bardoel & Sohal 1999, p.265) advises that an interview guide helps to focus the investigation and ensures that a consistent inquiry procedure is followed. Yin (1994) indicates that interviews can gather the facts of a matter, the interviewees' opinions about events and her/his insights into certain occurrences.

The author decided to design and conduct interviews with a high degree of structure. This was deemed necessary to ensure that all the major propositions of the study were covered in the interviews. In addition the interview was structured so as to provide ease of data analysis as described in section 5.4 below. The details of the design and conduct of the interviews is detailed later in this chapter in section 5.3.3, data collection methods and instruments.

5.3.2.4 Participant Observation

A participant observer may assume a variety of roles within a case study situation and may actually take part in the events being studied. The role provides the opportunity to perceive reality from the viewpoint of someone inside the case study rather than external to it (Yin, 1994). In this study the author did not deliberately choose participant observation as a source of evidence, he is simply reporting the situation that he was in relative to one of the cases. From 1999 to 2002 he was partly involved in one of the cases (case 'B') as a Head of School and therefore could be seen as a participant observer. The author has reported this here in order that concerns about potential bias associated with participant observation can be addressed. Any observations made by the author whilst in this role will be included in the analysis of data for that case in the next chapter, however these observations will only be used to corroborate evidence from the other sources (interviews, documentation and archival records). This is especially important, as the participant observer role could not be used as a source of evidence in the other three cases. The author was also able to use his diaries to check key dates in the implementation process in this case.

According to Yin (1994) the benefits from these sources of evidence can be maximised if three principles are followed which can help to deal with the construct validity and reliability of the cases. These three principles are, using multiple sources of evidence, creating a case study database and maintaining a chain of evidence.

5.3.2.5 Multiple Sources of Evidence

The rationale for using multiple sources of evidence in a case study is known as triangulation. Multiple sources of evidence help in developing converging lines of inquiry following a corroboratory model. The problem of construct validity is addressed because the multiple sources of evidence provide multiple measures of the same phenomenon (Yin, 1994). Flick (see Stake 1994, p.241) states that triangulation serves to clarify meaning by identifying different ways the phenomenon is being seen. Hussey & Hussey (1997) agree with this view and recommend that it is best to combine data collection methods. Denzin (see Hussey & Hussey 1997, p.74) defines triangulation as:

"The combination of methodologies in the study of the same phenomenon".

Figure 5.2 describes the effect of this triangulation of data sources using the data sources accessed in this study.

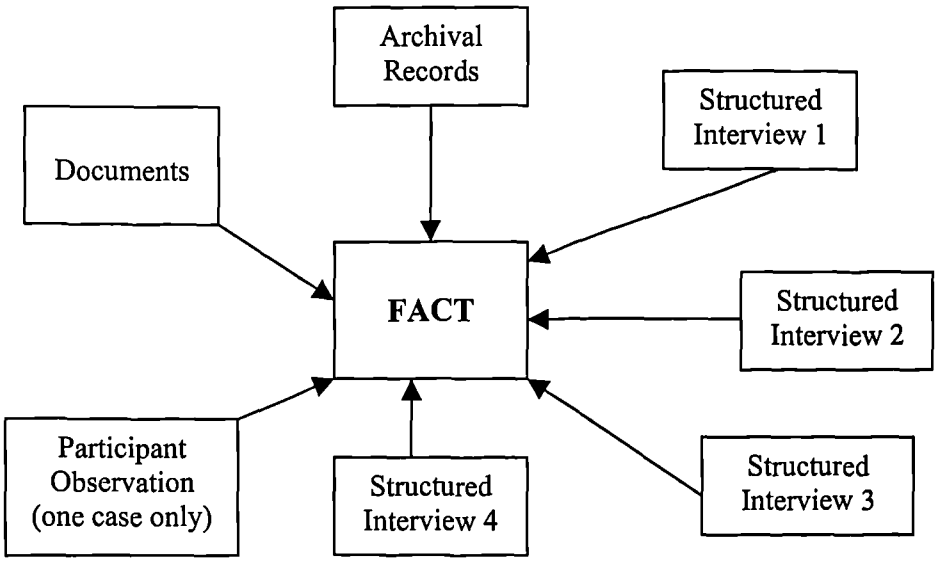

Figure 5.2: Convergence of Multiple Sources of Evidence (adapted from Yin 1994, p.93)

5.3.2.6 Case Study Database

This is a way of organising and documenting the data collected in a case study. In principle, other investigators can review the evidence directly. This increases the reliability of the case study (Yin, 1994). The existence of an adequate database does not preclude the need to present sufficient evidence in the case study report. Every report should contain enough data so that the reader of the report can draw independent conclusions about the case study (Yin, 1994). The case study database for each of the cases in this study will contain the following:

- The typed records of the structured interviews.
- Audio tapes of the interviews.
- Documents retrieved from the cases.
- Information on the background to the case study organisations.

5.3.2.7 Chain of Evidence

Maintaining a chain of evidence helps to increase the reliability of the information in a case study. The principle is to allow an external observer to follow the derivation of any evidence from initial research questions to ultimate case study conclusions and vice versa. No original evidence should be lost through carelessness or bias. If this is achieved then a case study will have addressed the methodological problem of construct validity (Yin, 1994). The chain of evidence constructed for each case within this study is shown in figure 5.3.

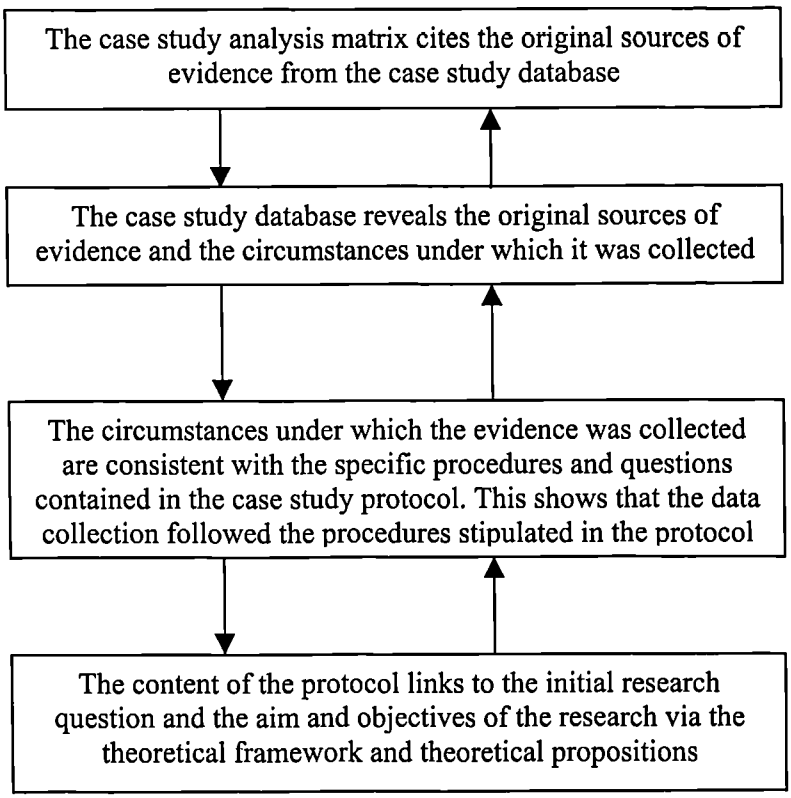

Figure 5.3: The chain of evidence for each case within this study

5.3.3 Data Collection Methods and Instruments

This section provides the detail of the design of the data collection methods and instruments and the detail of the conduct of the data collection within the case studies.

5.3.3.1 Design of the Data Collection Methods and Instruments

As the design of the collection of relevant documentation in the case studies was described in detail in section 5.3.2.1 earlier in this chapter, the following sections will only describe the document used to collect background information on the case study organisations and the design of the main data collection instrument used in this study, the structured interview.

5.3.3.1.1 Case Study Background Information

The author decided to collect background information from the case study organisations in order to provide some context for the phenomenon under study, the implementation of the EFQM Excellence Model. This follows the advice of Yin (1994). The document used to collect this data can be seen at appendix 6. The document was designed to gather information at both the University level and the academic unit (case study) level on size, history, academic structure, governance, academic management and the relative split of activities between teaching, research and academic enterprise or *reach out* activities. The author used his knowledge of Universities gathered from 11 years experience in the sector, including 4 years as a Head of School, in deciding on the areas in which to gather background information. This document was reviewed by both the author's PhD supervisor and Professor Philip Sullivan of De Montfort University to ensure that all significant background areas were included.

Professor Sullivan was of the opinion that some of the background information being requested might not be easy to access. The author noted this concern but decided to attempt to get as much background information as possible in order to produce a rich context for the cases.

5.3.3.1.2 Interview Design

The author considered the following questions when designing the structured interview. Firstly, what to ask the interviewees (i.e. the questions, the content of the interview). Secondly, how to conduct the interviews (the procedure). Thirdly, who the interviewees should be (this selection took place once the content of the interview had been determined so that appropriate interviewees could be interviewed who would have sufficient knowledge to answer the questions) and finally, when and where to conduct the interviews.

5.3.3.1.2.1 Content of the Interview

The structured interview (appendix 5) was developed from the theoretical framework (chapter 4) and the theoretical propositions outlined earlier in this chapter. This ensured that all relevant issues were covered. Appendix 15 demonstrates the links between the interview questions and the elements of the theoretical framework:

Within the structured interview the author decided to gather the views of the interviewees on some of the issues using Likert scales in order that the magnitude of the views could be assessed and so that comparisons could be made between the views of different interviewees. A seven-point scale as recommended by Hussey & Hussey (1997) was selected in order to be able to differentiate adequately between the views of the interviewees. Short scales are too crude to provide differentiation whilst scales that are too long give a false sense of precision.

The last section of the interview called on the interviewee to assess the level of EFQM implementation in their organisation. This was left to the end as the author thought that the accuracy of the responses would be increased by the interviewee having just been taken through the elements of the implementation in the rest of the interview. Rather than developing a new tool for assessing the level of EFQM implementation the author decided to use the description of levels used by PriceWaterhouseCoopers (2000) in their research, which evaluated the Public Sector Excellence Programme. This tool had already been used to assess the level of implementation in over 800 public service organisations and consisted of three levels, *entry level, maturing level* and *advanced level* (see Table 5.4). The author decided to ask the interviewees to estimate their level of EFQM implementation in half levels in order to make comparisons between the different interviewees' views in each case more accurate.

The document used to gather the background to the case study organisation, the structured interview and the protocols (the notes to the project managers and interviewees on the research process and procedures) were piloted with Professor Philip Sullivan who was the Project Director for one of the HEFCE funded projects and also the Project Manager for one of the potential case studies (the one that the author decided to use for piloting purposes as described earlier in the chapter). This was done to provide a substantive check on the content of the interview questions (as Professor Sullivan has much experience in the implementation of the EFQM Excellence Model in Higher Education) in addition to covering methodological issues in the protocols and interview questions (Yin, 1994). This pre-test approach had been used by Samuelsson & Nilsson (2002) when researching self-assessment practices in large organisations and their data collection instrument was pre-tested on persons with great experience of self-assessment. The outcome of this pilot was that one substantive element was added to the structured interview (the culture of support in section 3.3.3.7 in the structured interview) and some very minor changes to the wording of some questions were made to aid clarity.

Overall, the feedback from Professor Sullivan gave the author confidence that both the substance of the data gathering instruments and the methodology to be employed in data gathering were well-designed as the suggested amendments were minimal.

Level	Distinguishing features (examples)
Entry Level	• Some knowledge of the concepts of excellence and performance improvement. • Limited awareness of the Excellence Model. • Membership of a regional or national quality foundation. • Some involvement with local and sector networks. • Limited deployment of quality tools within the organisation. • Survey or matrix-based self-assessments have been carried out.
Maturing Level	• Dedicated budgets for the Excellence Model are committed and a number of staff have been trained externally as assessors. • An evidence-based self-assessment has been conducted and a cycle of self-assessment is emerging. • The Excellence Model is partially deployed across the organisation and is partially integrated with planning and improvement processes. • Early examples of organisational improvement are emerging and the organisation is entering or winning regional awards.
Advanced Level	• Senior Managers demonstrate clear leadership and support for the principles of excellence. • A culture of self-assessment and continuous improvement is established. • The organisation has achieved recognition and awards for excellence, nationally and at, or close to, European level. • The Excellence Model is fully deployed and the organisation has integrated it into its planning and improvement processes.

Table 5.4: Definitions of different levels of usage of the Excellence Model (PriceWaterhouseCoopers, 2000, p.31).

5.3.3.1.2.2 Interview Procedure

The author decided to record the interviews, with the interviewee's permission, using a tape recorder. All the interviewees gave their permission for the interview to be tape-recorded. The author made detailed notes during each interview and used the tape recordings to check the accuracy of the transcribed interview notes. It was not necessary to produce word-for-word transcriptions of the interviews as the data analysis techniques selected (see later) did not require this. The author was not looking to find the frequency of occurrence of set words or phrases in the interviews as would be the situation in content analysis. The tape recordings meant that the original source data could be returned to at any stage in the process of data analysis (Silvestro, 2001). The typed record of each interview was sent to the interviewee to verify that it was an accurate record of the interview. This type of approach was used by Samuelsson & Nilsson (2002) in case study interviews as part of their research, which examined self-assessment practices in large organisations. The author then made any appropriate amendments and asked the interviewee to verify the accuracy of the amended interview record. As it turned out, the majority of the interviewees verified the initial interview records. The amendments suggested by the others were of a very minor nature. This gave the author confidence in the accuracy of the interview process and increased the reliability of the research process.

5.3.3.1.2.3 Choice of Interviewees for the Interviews

It was indicated earlier in the chapter that the discussions that the author had with the project managers in each of the case study organisations had revealed that there was only a handful of people in each case study organisation who would have sufficient knowledge of the implementation process to be able to provide an insight into either the whole of the implementation process or significant portions of it. This was because only a handful of staff had been involved with significant portions of the implementation process in each of the cases. In one of the four cases, the high number of changes in the management group responsible for the implementation meant that only four staff were available to offer this insight.

As the interviews were to be very detailed (the interview document stretched to 18 gapped pages and the interview was estimated to take 2 hours) and supporting documents were to be accessed, the author was confident that this practical limitation would not significantly affect the quality of the data collected as there would be sufficient sources of evidence for triangulation purposes (see figure 5.2). To have interviewed staff with little knowledge of the implementation process would not have added value to the research and might have risked encountering the problem of reflexivity (Yin, 1994) in which interviewees "invent" answers to please the interviewer.

It was decided therefore to conduct four in-depth interviews in each case study organisation. It was not possible to interview direct equivalents in each organisation because of differences in the organisational structures (this problem was also encountered by Silvestro, 2001), differences in the ways that the organisations had approached the implementation and movements of staff over the 3 years of the HEFCE funded projects. However, in order to get a variety of perspectives on the implementation, the author discussed the issue of possible interviewees with each of the four project managers. Clearly the project manager in each of the cases would need to be one of the interviewees as they were well placed to have a good insight into the implementation process. In all four cases, the majority of staff involved in the implementation process were members of the academic management of the academic unit. In three of the four cases a senior member of administrative staff had been involved in the implementation process. The author decided that their views might offer a slightly different perspective to that of the academic members of staff involved and so interviews were requested with these individuals. The remainder of the interviewees came from the academic staff of the academic unit. Table 5.5 describes the positions of the four interviewees in each of the four cases.

Interviewee	Case A	Case B	Case C	Case D
1	Project Manager, Lecturer	Project Manager, Lecturer	Project Manager. Professor, Director of the academic unit for the first 2 of the 3 years of the project, then research institute director.	Project Manager, senior member of academic staff within one of the sub-units of the academic unit.
2	Senior Administrator, member of the senior management team of the academic unit, member of an improvement group, member of the project board.	Senior Administrator, member of the senior management team of the academic unit.	Senior member of academic staff, deputy director of the academic unit.	Senior Administrator, member of the senior management team of the academic unit.
3	Professor, a Head of Department, member of the senior management team of the academic unit, member of an improvement group.	Professor, Dean of the academic unit for the last 2 years of the project, member of the senior management team of the academic unit prior to that.	Senior member of the academic staff, director of the academic unit for the last year of the 3-year project, member of the *diagonal slice*, member of an improvement group.	Dean of the academic unit.
4	Lecturer, member of an improvement group.	Professor, member of the senior management team of the academic unit.	Professor, member of the senior management team of the academic unit, member of an improvement team.	Head of one of the sub-units within the academic unit, member of the senior management team of the academic unit.

Table 5.5: The positions of the interviewees in the case study organisations

It can be seen that, because of the different roles played by the interviewees, multiple perspectives were made available to the author. Some of the interviewees played multiple roles within the case and therefore were rich sources of information.

5.3.3.1.2.4 Time and Location of the Interviews

The interview times were arranged to be convenient to the interviewees. The interviews took place between 19 June 2003 and 28 July 2003, i.e. just after the HEFCE funded projects had officially ended (May 2003). This allowed the interviewees to reflect on the whole time period of the implementation.

All the interviews were conducted on site at the case study organisations, which allowed the author the opportunity to access appropriate documents as planned.

5.3.3.2 Conduct of the Data Collection within the Case Studies

The case study background document (appendix 6) and the memo to project managers (appendix 3) were sent to the project managers several weeks before the visits in order that the project managers were aware of the data collection procedures. The author asked if the background information could be gathered before his visit so that he could take this away with him. As it turned out, because of work pressures in the case study organisations, this wasn't possible and the information was posted on at a later date.

Each interviewee received a copy of the *notes for interviewees* (appendix 4) several weeks before the interview in order that they were informed of the research protocol. The interviews went ahead as scheduled and went smoothly with very little need for the author to further explain the interview questions. The author used his discretion to probe the interviewees' responses and further pursue lines of enquiry as appropriate. The interviews took between one hour and ten minutes and two hours each to complete. The author was allowed access to the project files of each of the project managers in order to copy supporting documents for each case.

Overall, the data collection phase ran smoothly, which warranted the time spent by the author in designing the instruments and organising the site visits.

5.3.4 Skills

"With regard to prior skills, many people incorrectly believe they are sufficiently skilled to do case studies because they think the method is easy to use. In fact, case study research is among the hardest types of research to do" (Yin 1994, p.54).

Yin (1994) argues that the skills required for collecting case study data are much more demanding than those for experiments and surveys because of the continuous interaction between the theoretical issues being studied and the data being collected. During data collection, only a more experienced investigator will be able to take advantage of unexpected opportunities, rather than being trapped by them, and also to exercise sufficient care against potentially biased procedures. Yin (1994) provides a basic list of commonly required skills for conducting case studies:

- Be able to ask good questions and interpret the answers.
- Be a good listener. Be sensitive to terminology and capture the mood and context. Capture *between the lines* information.
- Be adaptive and flexible to opportunities whilst maintaining the rigour of the research design.
- Have a firm grasp of the issues being studied, to focus the relevant events and information to be sought to manageable proportions.
- Be unbiased by preconceived notions by being sensitive and responsive to contradictory evidence. Any bias can be reduced by using multiple sources of evidence.

Many of the above skills had already been acquired by the author through previous training and experience:

- The author is a British Standards Institute trained quality systems lead assessor and has extensive experience of quality audits as both an auditor and an auditee. Quality Systems auditing involves all of the above skills.
- The author is a trained EFQM Excellence Model assessor, has conducted self-assessments and has advised organisations carrying out self-assessments.
- The author has been trained to chair recruitment panels at his University and has extensive experience in chairing and being a panel member on recruitment panels in academe and industry. The training for chairing interview panels involved the use of techniques to remove bias from the process.
- Between 1996 and 2003 the author conducted over 300 undergraduate dissertation viva voces.

The last three elements above particularly developed the author's skills in asking questions, listening and interpretation of the answers.

5.3.5 Training

As this study was to be conducted by a single investigator (the author), the investigator alone had defined the problem to be studied and developed the case study design, and the investigator already had the training, experience and skills outlined above, then little extra training was needed. A critical self-review however, revealed that the author needed to improve his skills in the area of the analysis of qualitative data. In addition to reading the research methods texts referred to in this chapter, the author attended a number of development seminars at the University of Salford as follows:

- *Methodologically sophisticated enquiry.* 23 October 2002, Dr Richard Varey.
- *Research Design Issues.* 20 November 2002, Dr Sudi Sharifi.
- *Literature Review.* 26 November 2002, Catherine Green and Marcus Ormerod.
- *Getting access to quality data.* 12 February 2003, Professor Dominic Wilson.
- *Qualitative Analysis.* 19 February 2003, Dr Sudi Sharifi.
- *Case Study Research.* 19 February 2003, Professor Dominic Wilson.
- *Qualitative Analysis.* 12 March 2003, Professor Peter Barrett.
- *Interviewing Technique and Skills.* 19 March 2003, Dr Sudi Sharifi.

5.4 Methods for the analysis of Case Study Data

"Data analysis consists of examining, categorizing, tabulating, or otherwise recombining the evidence to address the initial propositions of a study" (Yin, 1994 p.102).

According to Yin (1994) the overall goal in data analysis is to treat the evidence fairly, produce compelling analytic conclusions and rule out alternative interpretations.

5.4.1 General Analytic Strategies

There is a need to have a general analytic strategy to help an investigator choose among the different analytic techniques. The general analytic strategy yields priorities for what to analyse and why (Yin, 1994).

Yin (1994) presents two general analytic strategies. The first and, according to Yin (1994), the more preferred strategy is to follow the theoretical propositions that led to the case study, as the original objectives and design of the case study would have been based on such propositions. This is the situation in this study, where the propositions shaped the data collection plan (described earlier in this chapter) and therefore gave priority to this as the relevant analytic strategy. In this study, the theoretical propositions have been described in a theoretical framework, which thus provides a framework for the analysis of case study data.

According to Yin (1994), a second general analytic strategy is to develop a descriptive framework for organising the case study. This strategy tends to be used for case studies whose purpose was descriptive. It is an alternative strategy when theoretical propositions are absent. As the purposes of this study are exploratory and explanatory, as outlined earlier in this chapter, and theoretical propositions are present, this would not be the most appropriate general analytic strategy.

5.4.2 Analytic Techniques

There are a number of specific analytic techniques that can be employed as part of a general analytic strategy. This section includes a review of those available with a justification for the techniques chosen for this study.

Miles & Huberman (see Yin 1994, p.103) offer some techniques that can be used to put evidence in some order prior to actual analysis:

- Putting information into different arrays.
- Making a matrix of categories and placing the evidence within such categories.
- Creating data displays - flowcharts and other devices - for examining the data.
- Tabulating the frequency of different events.
- Examining the complexity of such tabulations and their relationships by calculating second-order numbers such as means and variances.
- Putting information in chronological order or using some other temporal scheme.

Yin (1994) describes, firstly, *Dominant Modes of Analysis* and, secondly, *Lesser Modes of Analysis* which are usually used in conjunction with one of the dominant modes.

5.4.2.1 Dominant Modes of Analysis

5.4.2.1.1 Pattern-Matching

Trochim (see Yin 1994, p.106) indicates that pattern-matching compares an empirically based pattern with a predicted one or with several alternative predictions. If the patterns coincide, the results can help a case study strengthen its internal validity. This study contains a predicted pattern (the theoretical framework) derived from the literature review and alternative predictions in terms of the propositions put forward in this chapter. Krasachol & Tannock (1999) used their

theoretical framework as the basis for analysis in their study of TQM implementation in Thailand. Therefore pattern-matching was considered as a possible mode of analysis in this study.

5.4.2.1.2 Explanation-Building

This is a special type of pattern-matching in which the goal is to analyze the case study data by building an explanation about the case (Yin, 1994). This procedure is mainly relevant to explanatory case studies. According to Yin (1994, p.110) to *"explain"* a phenomenon is to stipulate a set of causal links about it, and the explanations should reflect some theoretically significant propositions, which, if correct, can lead to major contributions to theory-building. In explanation-building, other plausible explanations for phenomena need to be entertained and Yin (1994) recommends cross-case analysis to aid this. This approach is another possibility for this study. The study is partly explanatory in nature (trying to explain why the implementation of the EFQM Excellence Model was effective or ineffective in a number of cases in UK University academic units), a set of causal links has been proposed (the theoretical framework and propositions), the explanations generated could lead to a major contribution to theory-building (a guidance framework for implementing the EFQM Excellence Model in UK University academic units) and cross-case analysis is possible as there are four cases.

5.4.2.1.3 Time-Series Analysis

The ability to trace changes over time is a major strength of case studies thus making some sort of time-series analysis possible. This is often allied with other analytical techniques (Yin, 1994). The analysis of chronological events lends itself to this study as elements of the theoretical framework have been placed in a logical order based on the relative time that activities are expected to take place. In addition, a theme that runs throughout the theoretical framework is that of *pace,* which is a time-related issue. The analytic goal is to compare the chronology in the case study with that predicted by some explanatory theory, in this instance the theoretical framework of the study. Time-related data was collected via the data collection methods and instruments described earlier in this chapter to enable a chronological analysis to be conducted. Yin (1994) recommends the use of time-series analysis for increasing the internal validity of a case study.

5.4.2.1.4 Program Logic Models

This technique is a combination of pattern-matching and time-series analysis. The analysis deliberately stipulates a complex chain of events (pattern) over time (time series), covering independent and dependent variables. This approach is useful for explanatory and exploratory case studies (Yin, 1994). It has already been identified above that explanation-building (a type of pattern-matching) and chronology (a time-series analysis) would be suitable data analysis

techniques for this study, and that this study is a both exploratory and explanatory, therefore program logic was selected as the most appropriate data analysis technique for this study. A key ingredient in program logic is the claimed existence of repeated cause and effect sequences of events, which are all linked together. This is the situation in this study as mapped out in the theoretical framework. Yin (1994) recommends this combination of pattern-matching and time-series analysis for increasing the internal validity of a case study.

5.4.2.2 Lesser Modes of Analysis

Yin (1994) describes three lesser modes of analysis; analysis of embedded units of analysis, repeated observations, and the case survey approach, which are incomplete analytic approaches and must be used with one of the dominant modes in order to produce a compelling and full case study analysis.

5.4.2.2.1 Analyzing Embedded Units

This is not relevant to this study, as there were no embedded units.

5.4.2.2.2 Making Repeated Observations

Again this is not relevant to this study, as repeated observations of the implementation were not made. Data was collected at the end of the implementation process.

5.4.2.2.3 Case Survey

This technique is used when a large number of cases (200-300) have been completed and a closed-ended coding instrument is then applied to each case study. The collective data are tallied and analysed in a similar way to a large-scale survey. Therefore this was deemed to be an inappropriate technique in this study, as a large number of already completed cases was not available.

5.5 Chapter Summary

In this chapter the various methodological choices made by the author have been described and justified. The research strategy to be employed is the case study strategy, a detailed research design has been produced and four cases have been selected for investigation. The sources of evidence have been identified and a structured interview has been designed as the primary data collection instrument. The general analytic strategy to be employed involves the use of the theoretical framework to analyse the data and a program logic model will be used to combine the pattern-matching and time-series analysis analytic techniques. The research design has considered the issues of validity and reliability in the research. The next chapter will deal with the findings of the primary research.

CHAPTER 6

FINDINGS

6.0 Chapter Introduction

In this chapter the findings of the primary research are presented. The appropriate data analysis strategies and methods were described and justified in the previous chapter (chapter 5). The general analytic strategy involves comparing the case study data with the theoretical propositions, which have been described in a theoretical framework. A program logic mode of analysis was used which is a combination of pattern-matching and time-series analysis (Yin, 1994). Each case was analysed independently. Any cross-case comparisons will be made in the next chapter in which the results will be discussed.

For each case, the case study background information will be presented first followed by the interview and document analysis in which patterns will be identified. Events from the case study will be placed in chronological order to allow a time-series analysis. Finally the pattern-matched data will be combined with the chronological data and then compared with the theoretical framework in a program logic approach. This then will contribute to the achievement of the objective: *To explore and analyse the approaches used in attempted implementation of the EFQM Excellence Model in a number of UK University case studies in order to discover the critical issues for effective implementation.* This analysis and comparison will be used to explain the effectiveness of the implementation of the EFQM Excellence Model in each case and thus address the objective: *To explain why the implementation of the EFQM Excellence Model was effective or ineffective in a number of cases in UK University academic units by reference to the theoretical framework.*

6.1 Case Study 'A'

6.1.1 Case Study 'A' Background (2002-2003)

Size of the University

The University in which case study 'A' took place has 3231 students, 1000 academic staff and 800 support staff.

University History

The University is a pre-1992 institution. Its origins go back to 1946.

University Academic Structure

The University comprises six schools each with a number of departments within them.

University Governance

Senate is the principal academic body of the University. It draws its members from the academic staff and students of the University. Its role is to direct and regulate the teaching and research of the University. This includes approving all courses and over-seeing all aspects of

academic quality assurance. The Vice Chancellor is the Chairman of Senate. School Boards report to Senate.

Council is the chief executive and financial body of the University. It has responsibility for the strategic direction of the institution, approval of major developments and the receipt of regular reports from executive officers on the day to day operations of the University. Council has two main sub-committees, the Finance Committee and the Audit Committee.

Court is the supreme constitutional body of the University. It offers a means whereby the wider interests served by the University can be associated with the institution and provides a public forum where members of Court can raise any matters about the University. Court normally meets once each year to receive the annual report and financial statements. Major changes to the constitution of the University require Court's approval. Court elects the independent members of the University's Council.

A majority of the members of Court are from outside the University, representing designated bodies with an interest in the work of the University, including the local community. Court also includes many members and former members of University staff. All members of Senate are ex-officio members of Court, as are the Emeritus Professors of the University. In addition, five members of Court are elected by the Assembly of academic staff.

Academic Management

The Heads of School report to the Vice Chancellor through a Heads of School Committee. Academic Managers (Heads of School) are appointed on a permanent basis.

Split of Activities

This University was not happy to provide the HEFCE Transparency Review data for 2001/2002, which would have provided the split of academic time spent on Teaching, Research and Enterprise activities. In the absence of this data, the author took the opportunity to get the opinions of the interviewees on this split. The University's activities were split roughly as follows:

Teaching 25%

Research 60%

Enterprise 15%

Size of the Case Study School

The case study school has 68 academic staff, 63 support staff and 364 students.

History of the Case Study School

The School was formed from the merger of two schools in 1986.

Structure of the Case Study School

The School is made up of six departments and two enterprise centres.

Governance of the Case Study School

The School Board is the principal academic body of the School. It draws its members from the academic staff and students of the School. Its role is to direct and regulate the teaching and research of the School. This includes approving all courses and over-seeing all aspects of academic quality assurance. The Head of School is the Chairman of the School Board.

Academic Management of the Case Study School

Executive decisions are made by the Senior Management Team of the School. This is chaired by the Head of School and comprises the six Heads of Department and the Head of School administration.

Split of Activities in the Case Study School

This University was not happy to provide the HEFCE Transparency Review data for 2001/2002, which would have provided the split of academic time spent on Teaching, Research and Enterprise activities in the case study school. In the absence of this data, the author took the opportunity to get the opinions of the interviewees on this split. The School's activities were split roughly as follows:

Teaching 25%

Research 50%

Enterprise 20%

This was corroborated by a review of the relative numbers of school staff allocated to each of these activity streams.

6.1.2 Case Study 'A' Interview and Document Analysis

Appendix 7 is the analysis matrix for case study 'A'. The patterns emerging from the analysis matrix are summarised here. Appendix 8 is the list of documents from Case study 'A' that are referred to in Appendix 7. These documents are contained in the case study database for case 'A'.

INITIAL DECISION

The EFQM Model was first considered in late 1999/early 2000. No alternatives were considered. The decision to use the EFQM Model was taken in early 2000 by one of the Heads of Department who was a professor in quality management.

It was not clear if the decision was supported fully by the school management team. Interviewees A2 and A3 were both members of this but had conflicting memories of the decision.

There was no shared motive for using the EFQM Model and there were doubts about its applicability in HE. There was no shared view of what the EFQM Model would be used for. Some interviewees thought it would be used for self-assessment and other uses whereas the project manager and the documentation indicated that it wasn't really being implemented. The project was to see if the EFQM Model was applicable in HE. There appeared to be no shared or clear objectives or expected benefits. There was some notion of performance improvement as an objective.

There was a shared view that it would be a long haul.

GAINING SENIOR MANAGEMENT COMMITMENT

The main action taken to try to secure the commitment of the School SMT was a presentation by the HEFCE project consultant to the School SMT somewhere between 31/5/01 and 19/12/01. The Project had already been running for at least 12 months by the time this happened. The Project Board concluded that the SMT did not, in general, perceive the relevance or potential of the EFQM Model to the school. Although two of the interviewees thought that the presentation to the SMT took place in the first few months of the project, it actually happened between 12 and 18 months in, seemingly due to the caution of the Head of Department involved.

Two Professors from the school's SMT were appointed to improvement groups. Getting support from the Vice Chancellor was considered but not progressed.

The Project Manager and the HEFCE consultant both carried out actions to try to gain senior management commitment.

The perceived level of senior management commitment at the start of the project was:

Mean = 3

Range 1 to 5.5

(1 = None, 7 = Full)

The project manager and the Director of School Administration thought that the level of senior management commitment was very low. The Head of Department interviewed thought senior

management commitment was quite high. The improvement group member thought it was neutral.

PREPARATION

Were any change models considered for use during the implementation? (e.g. force field analysis)

No change models were used.

Were the motive and objectives in using the EFQM Excellence Model communicated to staff?

It seems that communication about the motive and objectives only took place with elements of the school. Communication took place in an ad hoc way.

Culture/Context

Although two of the interviewees offered their own opinions on aspects of this, there was no systematic attempt to assess the organisational culture/context. Any assessment of culture took place on an individual or small group level.

Management style wasn't considered. The interviewees' perceptions of management style was:
Mean = 5.5
Range 4 to 6.5
(1 = Collegial, 7 = Managerial)
Management style was perceived as being towards the managerial end of the scale.

It appears that there was some consideration of the individualism of academic staff. The interviewees thought that the individualism of academic staff might cause difficulties. One interviewee thought that his less individualistic department had been chosen to work with (on one of the improvement projects) for this reason. The interviewees' perceptions of academic staff individualism was:
Mean = 3.8
Range 2.5 to 4.5
But with an overall range of 1 to 6.
(1 = Individual, 7 = Teamworking)
This suggests a tendency towards individualism.

The professional nature of academic staff wasn't considered. The interviewees' perceptions of the professional nature of academic staff was:
Mean = 6.25

Range 5.5 to 7

(1 = Low, 7 = High)

The interviewees thought that the academic staff saw themselves as professionals.

Academic freedom and the critical nature of academic staff was not considered. The interviewees' perceptions of how much academic freedom and criticality was exercised by academic staff was:

Mean = 4.6

Range 2.5 to 7

(1 = Low, 7 = High)

There was a broad range of opinion on the amount of academic freedom and criticality exercised by staff, but with a tendency towards this being high.

Recognition/rewards for involvement in EFQM implementation was not considered. There was no mechanism to reward this involvement. None of the interviewees mentioned any recognition events taking place.

In terms of language and terminology, the project manager decided not to mention the model. One interviewee saw this lack of explanation as a problem. One interviewee thought that it wasn't necessary to tailor the language in the EFQM Model whilst one thought that the language wasn't easily understood.

Two of the interviewees considered the issue of the culture of support on an individual basis. There was some concern about support from the SMT. The interviewees' perceptions of the culture of support in the school was:

Mean = 3.6

Range 2 to 5

(1 = Blame/Fear or Unsupportive/Uncooperative, 7 = Supportive/Cooperative)

The school culture tended towards the unsupportive end of the range, particularly for initiatives that didn't have to be done.

Issues specific to the use of the EFQM Excellence Model

There was no clear recollection of the approach to self-assessment, which was used. The documentation revealed that a subjective self-assessment was to be followed by a workshop. The workshop was meant to gain the involvement of staff across the school via the diagonal slice of staff. It was decided not to use scoring. Only the project manager had a clear view on the reasons for not using scoring. He felt that it was only relevant for Benchmarking, it wouldn't be accurate to start with and scoring could be demotivating if the score reduced in the second

round. It was decided not to use RADAR logic. The school didn't get as far as full application of the model and therefore didn't use RADAR.

Demonstrating Senior Management Commitment

Senior management commitment was planned to be demonstrated through the involvement of two professors from the SMT in the improvement groups. There was no clear view as to why this approach to demonstrating senior management commitment was chosen.

Project Management

A Project Board was set up in November 2000 made up of the Project Manager, the Head of Department (project leader) who had initiated the project, the Director of Finance and Administration and a co-opted external consultant from the HEFCE project. Some meetings were attended by the HEFCE consortium project manager. The objective was for the board to manage and guide the project. This board met every 3-6 months (6 meetings in 2 years). A project manager was appointed in summer 2000, who had some familiarity with the EFQM Model and had previous project management experience. The project manager received EFQM assessor training in 2000.

There was a project plan, which had been devised by the project manager working with the HEFCE consortium but it wasn't shared with the improvement groups. The pace of implementation was considered in the project plan and there were four timed stages in the project plan. The first stage was to be completed by April 2001 and involved the development of a questionnaire and the development and testing of different methods of self-assessment. Stage 2 was to be completed by February 2002 and involved running workshops with Heads of Departments and refining the questionnaire. Stage 3 was to be completed by December 2002 and involved running workshops and follow-up meetings with Heads of School and Heads of Department to explore incorporating the EFQM Model into the school's business planning process. Stage 4 was to be completed by February 2003 and involved evaluating the outcomes of the previous stages and carrying out another self-assessment exercise. The overall approach was "slow and steady".

The implementation was done across the school rather than piloting it first. The departments in the school were fairly small, therefore it was felt that it was better to use it across the school and include staff from across the school and at different levels to get involvement (the diagonal slice). On the whole, there were no other significant projects or initiatives taking place in the school at the time. The Project Board monitored progress with the project and met about every 6 months.

The resources allocated to the project were the Project Manager for 50% of his time, a small amount of money and the voluntary involvement of staff. There was a feeling from the interviewees that the project hadn't been properly resourced.

Education and Training

Very little training was planned, although some did occur; a briefing to the school's SMT and a presentation to the improvement group members by the project manager. The lack of planned training was because the school was not using the model in *"its fullness"* and there was no funding available for training. The external consultant from the HEFCE project delivered the briefing to the school's SMT and the project manager briefed the improvement teams. An external consultant was used who was the Deputy Chair of the HEFCE Project Steering Group. The reasons for using the external consultant were that there was a lack of expertise in the school (the Head of Department of Quality Management retired about 18 months into the project) and the consultant was supportive and lived locally.

Communication

Although there was a communications plan outlined in the project plan, it appears that there was little knowledge of its existence. The communications plan was put together on 27 September 2000.

Planned involvement in the implementation process and use of the EFQM Excellence Model

It was planned to involve staff from across the school in the diagonal slice self-assessment workshops and the improvement groups. There was no clear view as to why these approaches to involving staff had been chosen. There was some notion of getting discussion of issues. The "diagonal slice" workshop groups deliberately included "positive troublemakers". The membership of the improvement project teams was based on interest and experience. The reason given for setting up teams was to get staff involved.

MOMENTUM

Improvement Planning, Action and Review after self-assessment

Improvement planning, action and review started on 31 May 2001. It wasn't clear who had carried out the improvement planning. The project manager and the Head of School seemed to be involved. One view was that the improvement planning was carried out by the school SMT, based on the diagonal slice's self-assessment. The actions were to be carried out by the improvement groups. Two teams (one of 7 and one of 8) were set up working on separate projects. Improvement planning and action was done in this way to get different perspectives

from within the school. The emphasis in the improvement projects was that the two projects addressed priority improvement areas for the school.

Did the implementation progress on schedule?

The overall view was that the implementation did not progress on schedule. The perceived reasons for the implementation not progressing on schedule were various; the high workloads of the people involved, a lack of champions and that it wasn't a priority in the school. Momentum wasn't regained. There was very little communication to the staff in the school to keep them informed of progress.

Were the expected benefits of using the Excellence Model achieved?

Generally, the expected benefits of using the EFQM Excellence Model were not achieved.
The major barriers to achieving the benefits were perceived to be that the Head of School didn't see the EFQM implementation as a key issue, people didn't see it as key to their own futures, the lack of knowledge of the EFQM Model, the lack of knowledge of the project plan and the reluctance of the school's SMT to commit to this improvement initiative.

Do you think the pace of implementation was: too slow, too quick, about right?

The pace of implementation was seen as being too slow. This lack of pace was put down to a lack of staff motivation because the project wasn't valued and also there was no "quick win" in the improvement projects.

Was senior management commitment maintained throughout the implementation?

There were mixed views on whether senior management commitment was maintained. Two interviewees thought it was, whilst two thought strongly that it wasn't there to start with. There were very few examples of senior management commitment to the project being demonstrated. The overall view was that nothing had really helped to maintain senior management commitment. Senior management commitment was not maintained because it was perceived as not being there to start with. In addition, the improvement groups didn't ask for senior management to participate. The Head of Department of Quality Management who had instigated the HEFCE project retired about 18 months into the project. He was not replaced and nobody else took over his role on the HEFCE project. The interviewees' perceptions of the extent to which senior management commitment was demonstrated during the course of the implementation was:

Mean = 2

Range 1 to 4

(1 = None, 7 = Full)

The perception was that very little senior management commitment was demonstrated during the project.

Was the planned level of resources maintained during the implementation?

The planned level of resources was maintained during the project. The overall perception was that the level of resource was not sufficient. There was a view that there was a lack of project champions and the staff involved had little time available to make changes.

Was the planned staff training carried out?

The small amount of staff training that had been planned was carried out. Although the training provided some awareness, the overall lack of training meant that there was little knowledge of the EFQM Model.

Was there any recognition of or rewards for staff involved in EFQM implementation?

There was no recognition of or rewards for staff involved in EFQM implementation.

INTEGRATION

How many organisational levels was the EFQM Excellence Model implemented in?

The EFQM Model had been used at one level, the school.

How was RADAR logic used in the implementation?

RADAR logic wasn't used in the implementation.

Was the planned level of staff involvement with the EFQM Excellence Model achieved?

The only real involvement of staff was in the 2 improvement groups.

How many rounds of self-assessment have been carried out and when?

There had been two rounds of self-assessment; the "quick and dirty" assessment in the third quarter of 2000 and the workshops in the first and second quarters of 2001.

What has the model actually been used for and how often?

Although the interviewees had personal views on a variety of ways in which the EFQM Model had been used, its main use had been in self-assessment and it had motivated some staff to get involved in quality improvement activities.

Was the EFQM Model aligned with other organisational systems?

The EFQM Model had not been aligned with other organisational systems.

GENERAL

Has anything else that we haven't already discussed helped in the EFQM implementation?

There had been some positive support for change within the improvement groups, which had helped the implementation.

Has anything else that we haven't already discussed hindered the EFQM implementation?

In terms of other hindrances to the implementation, the project manager had concerns about politics within the school's SMT, the lack of management experience of managers in the school, the lack of motivation of some managers who were close to retirement, the School's SMT not seeing the need for improvement and the overall lack of a clear direction in the school.

How were these hindrances overcome?

The hindrances weren't overcome.

How would you assess your level of EFQM implementation?

The balance of the views was that the level of implementation was in the lower half of the entry level.

6.1.3 Case Study 'A' Time-Series Analysis

DATE	ACTION	PHASE OR ELEMENT OF THE THEORETICAL FRAMEWORK
Late 1999/early 2000	The EFQM Model was first considered.	• Decision Phase • Motive • Support for the decision
Early 2000	The decision to use the EFQM Model was taken.	• Decision Phase • Motive • Support for the decision
Summer 2000	A project manager was appointed.	• Preparation Phase • Planning • Project Management
1 August 2000	"Subjective self-assessment" showed the results of the quick and dirty self-assessment.	• Implementation and Evaluation Phase • Integration • Actual uses of the EFQM Model
27 September 2000	The project plan and communications plan were put together.	• Preparation Phase • Planning • Project Management • Communication • Pace
2000	The project manager received EFQM assessor training.	• Preparation Phase • Planning • Project Management • Education and Training

22 November 2000.	A Project Board was set up. The membership and role was agreed.	• Preparation Phase • Planning • Project Management
22 November 2000	"Project Board Meeting- agenda and notes" indicated that it was not the intention to implement the EFQM Model within the school during the project. The primary focus was to see how it could be applied to or modified for use within the HE sector.	• Decision Phase • Motive • Objectives and expected Benefits • Support for the decision • Intended uses of the EFQM Model • Implementation and Evaluation Phase • Momentum • Project Management
14 February 2001	"2nd Project Board Meeting" indicated that 2 workshops would be used for self-assessment.	• Preparation Phase • Planning • EFQM model specific choices • Staff Involvement and Teamwork • Implementation and Evaluation Phase • Momentum • Project Management
14 February 2001	"2nd Project Board Meeting". Indicated that the Project Board discussed the values and issues of scoring and agreed not to continue with scoring activities.	• Preparation Phase • Planning • EFQM model specific choices
7 and 12 March 2001	"Summary of Academic and Support group workshops " summarised the outputs of the self-assessments.	• Implementation and Evaluation Phase • Integration • Actual uses of the EFQM Model
April 2001	The first stage was to be completed, which involved the development of a questionnaire and the development and testing of different methods of self-assessment.	This was part of the plan rather than actions taken.
31 May 2001	"3rd Project Board Meeting" recorded the planning of a 2-3 hour session to be run by the external consultant from the HEFCE project for the SMT to look at what the EFQM Model could do for the school and what projects could be done in year 2 of the project.	• Preparation Phase • Gaining Senior Management Commitment
31 May 2001	"3rd Project Board Meeting" indicates that the Head of School was to be asked to support the improvement groups.	• Preparation Phase • Gaining Senior Management Commitment
31 May 2001	"3rd Project Board Meeting". Two improvement teams set up.	• Preparation Phase • Planning • Staff Involvement and Teamwork

31 May 2001	Improvement planning, action and review started.	• Implementation and Evaluation Phase • Momentum • Improvement Planning, Action and Review
Somewhere between 31 May 2001 and 19 December 2001	The main action taken to try to secure the commitment of the School SMT was a presentation by the HEFCE project consultant to the School SMT. The Project had already been running for at least 12 months by the time this happened.	• Preparation Phase • Gaining Senior Management Commitment
13 December 2001	"Summary of Improvement Projects" indicated that the Head of School had given approval for two improvement projects to be set up and two Professors were appointed as project champions.	• Implementation and Evaluation Phase • Momentum • Improvement Planning, Action and Review • Demonstrating Senior Management Commitment
13 December 2001	"Summary of Improvement Projects" shows that two improvement teams were working on projects.	• Implementation and Evaluation Phase • Momentum • Improvement Planning, Action and Review • Integration • Staff Involvement and Teamwork
19 December 2001	"4th Project Board Meeting" reflected on the presentation to the SMT and concluded that the SMT did not, in general perceive the relevance or potential of the EFQM Model to the school.	• Preparation Phase • Gaining Senior Management Commitment
19 December 2001	"4th Project Board Meeting" indicated that the Head of School did not support the setting up of a team to look at the potential of using the EFQM Model to develop a management system for the school.	• Implementation and Evaluation Phase • Momentum • Improvement Planning, Action and Review • Demonstrating Senior Management Commitment
About 18 months into the project (about December 2001)	The Head of Department of Quality Management who had instigated the HEFCE project retired.	• Implementation and Evaluation Phase • Momentum • Demonstrating Senior Management Commitment

5 February 2002	"Improvement Project Meeting" notes showed that an improvement team of 8 staff was working on a project.	• Implementation and Evaluation Phase • Momentum • Improvement Planning, Action and Review • Integration • Staff Involvement and Teamwork
18 February 2002	"Improvement Project 4th Meeting Notes" showed that an improvement team of 7 were working on another project.	• Implementation and Evaluation Phase • Momentum • Improvement Planning, Action and Review • Integration • Staff Involvement and Teamwork
By February 2002	Stage 2 was to be completed and involved running workshops with Heads of Departments and refining the questionnaire.	This was part of the plan rather than actions taken.
4 April 2002	"5th Project Board meeting" showed that the Head of Department on the Project Board felt that the time was not right for the University SMT to be briefed on the EFQM Model. He agreed to brief the Vice Chancellor on the progress of the HEFCE project.	• Preparation Phase • Gaining Senior Management Commitment
By December 2002	Stage 3 was to be completed and involved running workshops and follow-up meetings with Heads of School and Heads of Department to explore incorporating the EFQM Model into the school's business planning process.	This was part of the plan rather than actions taken.
By February 2003	Stage 4 was to be completed and involved evaluating the outcomes of the previous stages and carrying out another self-assessment exercise.	This was part of the plan rather than actions taken.

Table 6.1: Case Study 'A' Time-Series Analysis

6.1.4 Case Study 'A' Program Logic - comparison with Theoretical Framework

Decision Phase

Motive

There was no shared motive for using the EFQM Model and there were doubts about its applicability in HE. This is reflected below in the lack of clarity in the objectives, expected benefits and the intended uses of the model. In addition there was no clear support for its use at a senior level in the school.

Objectives and Expected Benefits

There appeared to be no shared or clear objectives or expected benefits.

- **Alternatives considered, support for the decision**

  No alternatives were considered. The decision to use the EFQM Model was taken in early 2000 by one of the Heads of Departments who was a professor in quality management. There was no clear support for the decision from the school management team.

- **Intended uses of the EFQM Model**

  There was no shared view of what the EFQM Model would be used for. Some interviewees thought it would be used for self-assessment and other uses whereas the project manager and the documentation indicated that it wasn't really being implemented. The project was to see if the EFQM Model was applicable in HE. The author has difficulty understanding how the EFQM Model's applicability in HE was to be assessed without using the model. Actually, as will be seen later, there was an attempt to use the EFQM Model in the school.

- **Pace**

  This phase was conducted at a reasonable pace. The EFQM Model was first considered in late 1999. The decision to use it was taken in early 2000 and in summer of 2000 a project manager was appointed. The author was generally aware that the HEFCE funded project started officially in May 2000. There was a shared view amongst the interviewees that it would be a long haul.

Preparation Phase

Gaining Senior Management Commitment

In May 2001 the Head of School was asked to support the improvement groups. There was an attempt to gain senior management commitment via the HEFCE project consultant and the project manager presenting to the school's senior management team. The perception of the project board however was that the SMT did not perceive the relevance or potential of the EFQM Model to the school. The perceived level of senior management commitment at the start of the project was 3 out of 7. The Head of Department who initiated the project agreed to brief the Vice Chancellor on the progress of the project in April 2002 but this wasn't done.

Pace

The attempt to gain senior management commitment from the school's SMT didn't happen until 12 to 18 months into the project. The EFQM Model had already started to be used well before this. The time between the decision phase and this first element of the preparation phase would appear to have been too long, having a negative effect on the pace of implementation.

Planning

- **Resistance to Change**

  No change models were used.

- **Culture/Context assessment**

  There was no systematic attempt to assess the organisational culture/context. Any assessment of culture took place on an individual or small group level.

  Management style wasn't considered. The perception was that the management style was managerial.

  The individualism of academic staff was considered. It was thought that the individualism of academic staff might cause difficulties. The perception was that there was a tendency towards individualism.

  The professional nature of academic staff wasn't considered. The perception was that the academic staff saw themselves as professionals.

  Academic freedom and the critical nature of academic staff was not considered. The perception was that there was a tendency towards academic staff exercising a fairly high degree of academic freedom and criticality.

  Recognition/rewards for involvement in EFQM implementation was not considered.

  The language and terminology in the EFQM Model was not tailored although one interviewee thought that the language wasn't easily understood. The project manager had decided not to even mention the EFQM Excellence Model to staff.

  The culture of support was considered by two individuals. The perception was that the culture in the school was relatively unsupportive, particularly for initiatives that weren't mandatory.

- **EFQM Model specific choices**

  A subjective self-assessment was to be followed by two workshops made up from a diagonal slice of staff. It was decided not to use scoring.

- **Demonstrating Senior Management Commitment**

  Almost no actions were planned to demonstrate senior management commitment. The only actions which demonstrated senior management commitment were the Head of School's

approval for two improvement projects to be set up and the appointment of a professor to each of these. The Head of Department who initiated the project retired in December 2001 and wasn't replaced. The Head of School did not support the setting up of a team to look at the potential of using the EFQM Model to develop a management system for the school. Not only were there few actions taken to demonstrate senior management commitment, actions were taken that could be seen as undermining the project.

- **Project Management**

  A project board was set up to monitor the progress of the project and a project manager was appointed. There was a project champion in place (the initiating Head of Department) at the start of the project. A project plan was developed and there were no other significant projects taking place in the school. The project was resourced, but there was a feeling that the resources were insufficient. The implementation wasn't piloted.

- **Education and Training**

  Very little training was planned. An external consultant was used.

- **Communication**

  Although there was a communications plan outlined in the project plan, it appears that there was little knowledge of its existence.

- **Staff Involvement and Teamwork**

  It was planned to involve staff from across the school in the diagonal slice self-assessment workshops and the improvement groups.

- **Pace**

  Most of the planning element of the preparation phase took place within the first 6 months of the project and thus was done within a reasonable timescale.

Implementation and Evaluation Phase

- **Pace**

  The implementation actions began within 1 month of the preparation phase being completed.

Integration

Three different approaches were used to integrate the EFQM Model.

- **Multi-level use in the organisation**

  The EFQM Model had been used at one level, the school.

- **Alignment with other organisational systems**

  The EFQM Model had not been aligned with other organisational systems.

- **Actual uses of the EFQM Model, particularly its use in strategic planning**

  Its main use had been in self-assessment and it had motivated some staff to get involved in quality improvement activities. It had not been used in strategic planning.

- **Staff Involvement and Teamwork**

  The only real involvement of staff was in the 2 improvement groups. About 15% of the school's staff had been involved in using the EFQM Model.

- **Pace**

  The self-assessments and the setting up of the improvement groups happened within the first 12 months of the project, however the improvement groups made no real progress with the improvement projects. No other integrative activities took place.

Momentum

Two approaches were utilised to provide momentum to the implementation.

- **Project Management**

  The project manager was in post for the whole 3-year period of the project. The project board met 5 times to monitor the progress of the project and there had been a project champion for the first half of the project. An activities plan was in place but wasn't followed. The resources allocated to the project were maintained throughout the project. A project consultant was used throughout the project.

- **Demonstrating Senior Management Commitment**

  There were very few examples of senior management commitment to the project being demonstrated. The perception was that very little senior management commitment was demonstrated during the project (2 out of 7). This compares with 3 out of 7 at the start of the project.

- **Communication**

  Little communication took place to inform staff about the project.

- **Education and Training**

  The small amount of staff training that had been planned was carried out. Although the training provided some awareness, the overall lack of training meant that there was little knowledge of the EFQM Model.

- **Improvement Planning, Action and Review**

  Improvement planning took place and 2 improvement teams were set up, which met on a few occasions, however no improvement actions took place.

- **Recognition and Rewards**

  There was no recognition of or rewards for staff involved in EFQM implementation.

- **Evaluation of Benefits**

  Generally, the expected benefits of using the EFQM Excellence Model were not achieved.

- **Pace**

  Few actions had taken place that would be expected to produce momentum in the implementation. The overall view was that the implementation did not progress on schedule. The pace of implementation was seen as being too slow.

Effectiveness of the Implementation

The balance of the views was that the level of implementation was in the lower half of the entry level. The author's assessment of the level of implementation from his knowledge of the case concurred with this.

Thus the implementation could be assessed as having been ineffective. This can be explained by comparing what actually happened with the theoretical framework.

In the decision phase there wasn't a clear or strong motive for using the EFQM Model. This was compounded by the fact that senior management commitment to the project was not gained at the start of the preparation phase. This wasn't even attempted until the project had been underway for over 12 months.

In the planning element of the preparation phase there was no attempt to assess potential resistance to change and no systematic attempt to assess the culture/context. There was no clear plan to demonstrate senior management commitment and very little education and training was planned. On the positive side most of the expected elements of project management were put in

place, choices were made relevant to the specifics of using the EFQM Model, a communications plan was put in place and it was planned to involve staff in teams.

In the integration element of the implementation and evaluation phase very little integration was achieved. The EFQM Model was used for self-assessment but was not used in strategic planning. Staff were involved in self-assessment teams and improvement teams. The model was only used at one organisational level and was not aligned with other organisational systems.

In the momentum element of the implementation and evaluation phase, very few of the elements that might have produced momentum were addressed. Although project monitoring took place and improvement planning occurred, senior management commitment wasn't demonstrated, communication did not take place, very little education and training was carried out, the improvement planning was not carried through into improvement actions, there were no rewards or recognition for staff involved in the implementation and benefits were not achieved through using the EFQM Model.

6.2 Case Study 'B'

6.2.1 Case Study 'B' Background (2002-2003)

Size of the University

The University in which case study 'B' took place has 16,432 students, 853 academic staff and 1,321 support staff.

University History

The University is a pre-1992 institution. Its origins go back to 1896.

University Academic Structure

The University is made up of four Faculties, which contain 14 Schools. Research activity is organised into a number of Research Institutes.

University Governance

Senate is the principal academic body of the University. It draws its members from the academic staff and students of the University. Its role is to direct and regulate the teaching, enterprise and research activities of the University. This includes approving all courses and over-seeing all aspects of academic quality assurance. The Vice Chancellor is the Chairman of Senate. Faculty Boards report to Senate.

Council is the chief executive and financial body of the University. It has responsibility for the strategic direction of the institution, approval of major developments and the receipt of regular reports from executive officers on the day to day operations of the University.

Court is the supreme constitutional body of the University. It offers a means whereby the wider interests served by the University can be associated with the institution and provides a public forum where members of Court can raise any matters about the University. Court normally meets once each year to receive the annual report and financial statements. Major changes to the constitution of the University require Court's approval.

A majority of the members of Court are from outside the University, representing designated bodies with an interest in the work of the University, including the local community. Court also includes many members and former members of University staff. All members of Senate are ex-officio members of Court, as are the Emeritus Professors of the University.

Executive decisions are taken by the University Executive Group, which comprises the Vice Chancellor, the four Pro Vice Chancellors, the Registrar and the Director of Finance. The Senior Management Team is as for the University Executive Group with the addition of the four Deans of Faculty.

Academic Management

There are four Pro Vice Chancellors and four Deans of Faculty who all report directly to the Vice Chancellor. There are fourteen Heads of School who all report directly to the Vice Chancellor. The University Management Group comprises the Vice Chancellor, the Registrar the Pro Vice Chancellors, the Deans of Faculty, the Associate Deans, the Directors of Research Institutes, the Heads of School and the Directors of the major support services.

Academic Managers hold fixed terms of office as follows:

Vice Chancellor	Normally 7 years.
Pro Vice Chancellor	2 years plus, normally, a further 2 years.
Dean of Faculty	4 years.
Associate Dean	4 years.
Head of School	4 years.

Consecutive terms of office are not allowed.

Split of Activities

Teaching 70.2%

Research 21.6%

Enterprise 8.2%

Size of the Case Study Faculty

The case study Faculty has 240 academic staff, 128 support staff and 4,319 students.

History of the Case Study Faculty

The Faculty was formed in 1999 after a major academic reorganisation of the University.

Structure of the Case Study Faculty

The Faculty is made up of five schools.

Governance of the Case Study Faculty

The governing body of the Faculty is the Faculty Board. This comprises the Dean, the three Associate Deans (one each for Teaching, Research and Academic Enterprise), the five Heads of School, elected academic staff representatives from each school and student representatives. Executive decisions are made by the Faculty Executive. This comprises the Dean, the three Associate Deans, the five Heads of School, the Faculty Administrator and the Faculty Accountant. The Dean's advisory group comprises the three Associate Deans, the Faculty Administrator and the Faculty Accountant.

Academic Management in the Case Study Faculty

The three Associate Deans and the five Heads of School report to the Dean of Faculty. The Academic Management of the Schools mirrors that of the Faculty with a School Board and a School Executive. The School Executive comprises the Head of School, three Associate Heads, the School Administrator and the School Finance Officer.

Split of Activities in the Case Study Faculty

Teaching 68.1%

Research 23.6%

Enterprise 8.3%

6.2.2 Case Study 'B' Interview and Document Analysis

Appendix 9 is the analysis matrix for case study 'B'. The patterns emerging from the analysis matrix are summarised here. Appendix 10 is the list of documents from Case study 'B' that are referred to in Appendix 9. These documents are contained in the case study database for case 'B'.

INITIAL DECISION

The EFQM Excellence Model was first considered by the Faculty in October 1999 via a Quality Improvement Group that had been set up to look at quality models that the Faculty might use. A number of alternatives were considered. These were Balanced Scorecard, Learning Company Framework, EQUIS, Charter Mark and Best Value. A qualified decision to use the model was made on 29 March 2000. A final decision was taken on 23 October 2000. The Faculty Executive made these decisions. Two interviewees felt that the decision had been fully supported, however 2 interviewees had some doubts about this. The documents show that the initial decision was a qualified one.

The interviewees expressed a number of individual opinions on the motives for using the EFQM Model but no shared view of the motive emerged from these. The documentation showed that the Faculty was looking for a system to manage quality in its broadest sense. There was a consistent view that the EFQM Model would be used as a self-assessment framework to aid improvement, however there was no shared view about other intended uses. This supports the Project Manager's statement that it was unclear what the intended uses were from the Faculty Executive's point of view. There was no consistent view of the expected benefits of using the EFQM Model and no clear objectives were set for its use.

Generally the expected timescales in which the benefits would be accrued was around 3 years. The project manager had concerns that it might be difficult to get support for such a long-term initiative as the members of the group had fixed terms of office of 4 years.

GAINING SENIOR MANAGEMENT COMMITMENT

A number of actions took place to try to gain senior management commitment. Two presentations to the Faculty Executive (29 March 2000 and 23 October 2000) took place. The presentations to the Faculty Executive were done by a working group, which had been set up by the Faculty Executive to look at quality models. Individual meetings occurred between the Project Manager and both of the Deans who were in post during the timescale of the project. The project manager and the Head of School of the school that had been chosen to pilot the EFQM Model in the Faculty made presentations to 2 out of the 5 School Executives. One presentation took place around January 2001 and one around April 2002. A workshop using RADAR logic with the Dean's Advisory Group took place in September 2002. One interviewee had concerns about piloting the implementation in one school. By doing this it was "taken away from the Faculty".

The perceived level of senior management commitment at the start of the project was:

Mean = 3.75

Range 2 to 5

(1 = None, 7 = Full)

There were mixed views on the level of senior management commitment that was gained. None thought that there was full commitment.

PREPARATION

Were any change models considered for use during the implementation? (e.g. force field analysis)

No change models were considered for use in the implementation.

Were the motive and objectives in using the EFQM Excellence Model communicated to staff?

The motive and objectives in using the EFQM Excellence Model were not communicated to staff.

Culture/Context

Was there an attempt to assess the organisational culture?

There was no attempt to assess the organisational culture.

There was no collective attempt to assess the management style. One interviewee had some concern about the lack of a "senior management champion" from the Faculty Executive. The interviewees' perceptions of academic management style was:

Mean = 2.5

Range 1 to 5

(1 = Collegial, 7 = Managerial)

The management style was seen to be towards the collegial end of the scale, but one interviewee thought it had been more managerial at the start of the project.

Only the project manager had considered the issue of staff individualism. It was not considered by the Faculty Executive. The Project Manager thought that it would not be possible to impose the use of the EFQM Model on staff and that they had "their own agendas". The interviewees' perceptions of academic staff individualism was:

Mean = 2.75

Range 1 to 7

(1 = Individual, 7 = Teamworking)

There was a full range of views from staff being highly individualistic to being team orientated, however the tendency was towards individualism.

The professional nature of academic staff was only considered by the project manager.

The interviewees' perceptions of the professional nature of academic staff was:

Mean = 6.4

Range 6 to 7

(1 = Low, 7 = High)

The perception was that staff saw themselves as professionals.

The issue of the academic freedom and criticality of staff was not considered collectively. It was considered individually by both the project manager and the Faculty Administrator. It was thought that the need for change would be difficult to get across. The EFQM Model might challenge academic freedom, for example by emphasising a customer focus. The EFQM Model might suggest possible policy changes, which could impact on academic freedom. The standardisation of systems would clash with academic freedom. It was thought that there was an attitude of "If it ain't broke, don't fix it". The interviewees' perceptions of how much academic freedom and criticality was exercised by academic staff was:

Mean = 6.25

Range 5.5 to 7

(1 = Low, 7 = High)

Academic staff were seen as exercising a great deal of academic freedom and criticality.

There was no collective consideration of whether there would be rewards and /or recognition for staff involved in the EFQM implementation.

The language and terminology of the EFQM Model was not considered by the Faculty Executive, however the project manager and the 2nd Dean considered this individually. The project manager thought that it would be best not to mention the Excellence Model. It was decided to use "commonsense" terms. The term "Knowledge" within the model was to be expressly used as a reference to knowledge as a management resource rather than knowledge as the intellectual capital of the University. In presentations, examples were used that were linked to HE issues.

Only the project manager considered the issue of the Faculty culture of support. Only pockets of the Faculty are supportive of change generally. Some individuals were supportive of the use of the EFQM Excellence Model. The interviewees' perceptions of the culture of support in the Faculty was:

Mean = 5

Range 2 to 6.5

(1 = Blame/Fear or Unsupportive/Uncooperative, 7 = Supportive/Cooperative)

The three members of the Faculty Executive amongst the interviewees felt that the culture of the Faculty was supportive. The Project Manager felt that it was unsupportive. This probably

reflected his views about the lack of progress with the EFQM implementation. The 2nd Dean thought that there were some staff who are "suspicious" of new initiatives.

Issues specific to the use of the EFQM Excellence Model

There apparently was great confusion about which approach to self-assessment was used. The documentation indicated that interviews would be used, the project manager used pro-formas whilst other interviewees thought that workshops and pro-formas had been used. As the interviewees all had different recollections of the approach used for self-assessment, there was no consistent view on the reason for the choice. This probably reflected the fact that very little self-assessment took place.

The Faculty Executive decided not to use scoring. This was debated at length. The reason for this was that the Faculty Executive did not want yet another scoring assessment, e.g. RAE, TQA. It was felt that it would be better to concentrate on areas for improvement.

A decision was made to use RADAR logic in the implementation. RADAR logic was used to set key results areas.

Demonstrating Senior Management Commitment

There were no specific plans for how senior management commitment to the implementation would be demonstrated, although the project manager had some ideas on how this might have been done.

Project Management

A steering group was set up at the University level for the wider project. It was made up of the Pro Vice Chancellor who had first decided to get involved in the HEFCE project, a Head of School from the Faculty, a representative of the Enterprise Division and a representative from the other Faculty within the University that was implementing the EFQM Excellence Model. The Project Manager believed it was set up for the wrong reasons. The PRINCE2 project management methodology had been adopted by the consortium of universities in the HEFCE project and this said that this should be done. This group only met once or twice. The project manager put this down to changes in post-holders and the resulting lack of continuity.

A project manager was appointed in September 2000. One interviewee wasn't aware that a half-time project manager had been appointed. This interviewee thought that the leader of the quality working group had been the project manager. This probably reflected the lack of discussion of the EFQM implementation by the Faculty Executive. The Project Manager had been trained as an EFQM Excellence Model assessor in 1995 and had previous experience of managing

projects. The project manager was retrained as an EFQM Excellence Model assessor in October 2000 and was trained in PRINCE2 project management methodology in December 2000.

An outline project plan existed but its existence wasn't well known. The pace of implementation was considered in planning. Year one was to involve a pilot in one of the five schools in the Faculty. This was then to be rolled out to the other 4 schools at 3-month intervals. The Project Manager and the Head of School of the pilot school (referred to as the "local champion" by one interviewee) devised the project plan and then had this approved by the Faculty Executive although the other interviewees did not recollect this. The implementation had been piloted in one school with the intention of rolling it out across the Faculty, but this roll out did not occur. The primary reason for this was the Dean at the time had wanted to pilot it first. The secondary reason was so that the benefits gained in the pilot school could be demonstrated to the other schools.

A very large number of other major initiatives/projects were taking place at the same time as the EFQM Excellence Model implementation. One interviewee thought that there had perhaps been too many initiatives. Lots of "initiatives" groups had been set up. The Faculty had been trying to move on all fronts at once.

Only the project manager was aware of the project progress monitoring arrangements. This occurred at the consortium level, there were no arrangements within the Faculty.

The following resources were allocated to the project:
A half-time project manager from September 2000. EFQM self-assessor training was made available through the expert centre but nobody was trained. The Faculty Executive was aware that this resource was available. Some of the "champion's" time in the pilot school.

Education and Training

Although training was available from the expert centre, none was ever requested and therefore none was planned. The project manager had an expectation that some self-assessor training would be carried out in the schools. The reason he gave for this was that self-assessment was needed to identify issues to be addressed. The project manager's hope was that 6 staff in each of the 5 schools and all the members of Faculty Executive would receive self-assessor training. The assessor training would take place about 3 months into the process for each of the schools (staged rollout) with the aim of schools carrying out their own self-assessments within 12 months. This wasn't carried out though. The training would have been carried out by staff from the expert centre and the project manager. Internal consultants from the expert centre were

available but were not used. The expert centre had expertise in the use of the EFQM Model in another part of the public sector.

Communication

What communication was planned about the implementation?

Although there was an overall communications plan for the consortium there was no local communications plan.

Planned involvement in the implementation process and use of the EFQM Excellence Model

There was no generally understood plan for involving staff in the implementation. The project manager had a clear idea of who he would have liked to have been involved (The Faculty Executive members, the School Executive members and about 6 other staff in each school). These were the people who would have the information needed for self-assessment. They could then act as advocates to involve more people in improvement activities. The project manager's intention was to involve these staff in self-assessment and subsequent improvement activities. The pilot school had a plan to set up an improvement group but this didn't get started.

The use of teams was only considered by the project manager and the Faculty Administrator. There was no collective decision to use teams. The project manager and the Faculty Administrator had differing views on how teams would be deployed. The Faculty Administrator thought that teams would be used to carry out self-assessments. The project manager thought that teams would be used to carry out improvement actions. Although there were some ideas of how teams might be used, they were never set up and deployed.

MOMENTUM

The first attempt at starting self-assessment in the Faculty was with the Faculty Executive led by the 2nd Dean (around 2 years into the project). The Project Manager met individually with the Dean, one of the three Associate Deans and the Faculty Administrator. A workshop using RADAR Logic was run with the Dean's Advisory Group (Dean, 3 Associate Deans, Faculty Administrator and Faculty Accountant). Unfortunately there was no subsequent agreement on key results. The group spent much of the time challenging the wording of the model. The Project Manager felt that they had lost sight of the original motives because the majority of people hadn't been party to the original decision to use the model (because of significant changes to the membership of the Faculty Executive).

Improvement Planning, Action and Review after self-assessment

Improvement planning, action and review was not carried out.

Did the implementation progress on schedule?

The implementation did not progress on schedule. The interviewees thought that there were a number of reasons for the implementation nit proceeding on schedule:

The implementation didn't pass the "first hurdle" of conducting a self-assessment. The Faculty Administrator thought that there was a lack of ownership at a senior level in the Faculty, that the Project Manager wasn't forceful enough and that the outputs from the Dean's Advisory Group workshop weren't what the Faculty Office expected. The Dean thought that the project slipped in the pilot school. There were several reasons for this. The school had just undergone two mergers within two years and this resulted in other issues for the school to address. In addition, the Head of School changed two years into the project. There were many changes in the senior management of the Faculty.

There was an attempt to regain momentum through the workshop that the project manager ran with the Dean's Advisory Group (DAG) in September 2002 to try to construct some key result areas for the Faculty using RADAR Logic, but this didn't generate the required momentum. No communication took place to inform staff about progress with the implementation.

Were the expected benefits of using the Excellence Model achieved?

The expected benefits of using the Excellence Model were not achieved.

There was a range of views on the major barriers to achieving the benefits:

A lack of senior management commitment. The scepticism of new members joining the Faculty Executive who hadn't bought in to the initiative. The pilot approach was not successful. There were too many initiatives competing for resources. A concentration on external agendas rather than internal initiatives.

Do you think the pace of implementation was: too slow, too quick, about right?

The pace of implementation was seen as being too slow. There was a sense that the project never properly got going, there was no obvious impact.

Was senior management commitment maintained throughout the implementation?

Senior management commitment was not maintained throughout the implementation. Senior management commitment was not demonstrated during the implementation, there was no visibility. One of the Heads of Schools felt the EFQM implementation needed to be on the Faculty Executive's agenda. There was nothing that helped to maintain senior management commitment. The interviewees thought that a number of issues had affected senior management commitment:

The stop/start cycle. The high turnover of staff in the Faculty Executive. The previous Dean "sidelined" it by pushing it into the pilot school. Too many initiatives were taking place. The

EFQM Excellence Model implementation wasn't "core", it wasn't integrated. The decision to use the EFQM Excellence Model was seen as an "imposed" decision. The information supplied by the Project Manager to the Faculty Office wasn't easily understood. The next steps after the workshop with the Dean's Advisory Group weren't clearly defined. There was an extremely high number of changes in the membership of the Faculty Executive. Of the 12 members who had made the decision to use the EFQM Model, only 2 remained at the end of the 3-year period of the HEFCE project. One of these two (the Faculty Administrator) thought that, as a result of this, there was a change in priorities and visions. The interviewees' perceptions of the extent to which senior management commitment was demonstrated during the course of the implementation was:

Mean = 2
Range 0
(1 = None, 7 = Full)
The shared view was that senior management commitment had hardly been demonstrated at all during the implementation.

Was the planned level of resources maintained during the implementation?
Apart from a brief period of sickness absence of the project manager, the planned level of resources had been maintained throughout the implementation. The level of resources was seen as being sufficient, however they weren't utilised properly. One interviewee thought that perhaps a different approach was needed by the Project Manager to overcome the difficulties with senior management commitment.

Was the planned staff training carried out?
No training was carried out, apart from that for the project manager. The training that was made available wasn't taken up by the Faculty Executive. The lack of training had a negative effect on the implementation. The project couldn't proceed beyond the stage of the Project Manager doing self-assessment because there weren't enough staff who were knowledgeable. As a result the project stalled.

Was there any recognition of or rewards for staff involved in EFQM implementation?
There wasn't any recognition of or rewards for staff involved in the EFQM implementation.

INTEGRATION
How many organisational levels was the EFQM Excellence Model implemented in?
The EFQM Model was partly implemented in two levels, the Faculty Executive and one pilot school.

How was RADAR logic used in the implementation?
RADAR logic was used with some small groups on particular issues, e.g. Annual Programme Review development. It was used with the Dean's Advisory Group to try to set some key objectives, but this was not concluded.

Was the planned level of staff involvement with the EFQM Excellence Model achieved?
Staff involvement with the EFQM Model was not achieved. The project manager thought that the reason for the lack of involvement of staff was that senior management commitment had not really been gained, therefore it was difficult to involve other staff.

How many rounds of self-assessment have been carried out and when?
The documentation and the participant observer indicated that one round of self-assessment had taken place in the pilot school in early 2001.

What has the model actually been used for and how often?
The EFQM Model had been used once (partly) for self-assessment and once as a strategic tool (it partially helped the DAG with key results).

Was the EFQM Model aligned with other organisational systems? E.g. Subject Review, Institutional Audit, Individual Performance Appraisal System, Internal Quality Reviews.
Although the Quality Working Group had shown in October 2000 how various initiatives could be aligned with the EFQM Model, no attempts were made to align it with other organisational systems.

GENERAL
Has anything else that we haven't already discussed helped in the EFQM implementation?
The only factor not already mentioned that helped the EFQM implementation was that successful examples of the model's use elsewhere in the University resulted in renewed interest from the 2nd Dean.

Has anything else that we haven't already discussed hindered the EFQM implementation?
Other factors that were perceived to have hindered the EFQM implementation were the closure of schools and staff redundancies elsewhere in the University, which one interviewee thought had produced a climate of fear. General staff workloads had increased in the time period of the implementation. One interviewee thought that changes in the nature of students and relationships with students had affected staff. One interviewee felt he was waiting to see "what will hit us next?"

The Quality Working Group had reported to the Faculty Executive back in March 2000 that they had concerns about how the EFQM Model might be implemented and recommended that an appropriate implementation plan be developed. No such plan was developed.

How were these hindrances overcome?

These hindrances were not overcome. One interviewee was of the opinion that the EFQM Excellence Model would need to be core to the University's quality assurance activity to be successfully implemented.

How would you assess your level of EFQM implementation?

The shared view (with one marginal exception) was that the level of EFQM implementation was in the lower half of the entry level.

6.2.3 Case Study 'B' Time-Series Analysis

DATE	ACTION	PHASE OR ELEMENT OF THE THEORETICAL FRAMEWORK
7 October 1999	"Email from author to Faculty Executive re: Quality Working Group" showed that the Faculty were considering a system for managing quality at that time.	• Decision Phase • Motive • Alternatives considered, support for the decision
14 February 2000	"Email from author to Quality Working Group members re: outcomes of meeting" showed that the EFQM Excellence Model was being considered. This also showed that a number of alternatives were also being considered.	• Decision Phase • Motive • Alternatives considered, support for the decision
17 February 2000	"Email from Quality Working Group member to group members re: outcomes of meeting on 14/2/00" showed that a number of alternatives to the EFQM Model were also being considered.	• Decision Phase • Motive • Alternatives considered, support for the decision
28 February 2000	"Written notes of a meeting of the Quality Improvement Group with 2 Heads of Schools to collect requirements for quality improvement" showed that the Faculty were considering a system for managing quality at that time.	• Decision Phase • Motive • Alternatives considered, support for the decision
2 March 2000	"Notes of Quality Group meeting" showed that the Faculty were considering a system for managing quality at that time.	• Decision Phase • Motive • Alternatives considered, support for the decision
29 March 2000	"Presentation by Quality Working Group to Faculty Executive" showed that the group recommended the use of the EFQM Excellence Model to the Faculty Executive and that a number of alternatives to the EFQM Model had been considered.	• Decision Phase • Motive • Alternatives considered, support for the decision

29 March 2000	"Email from author to Quality Working Group members re; Faculty Executive presentation" 31/3/00 showed that a qualified decision to use the model was made on 29/3/00. It was conditional on the working group showing how the EFQM Model would incorporate current initiatives and potential future initiatives.	• Decision Phase • Motive • Alternatives considered, support for the decision • Preparation Phase • Gaining Senior Management Commitment
8 August 2000	"Consortium Programme Management Framework" indicated that self-assessment would be carried out by interviews using questionnaires and outlines a communications plan for the overall programme.	• Preparation Phase • Planning • EFQM Model specific choices • Communication
August 2000	Implementation to start in the pilot school (planned).	• Preparation Phase • Planning • Project Management
September 2000	A project manager was appointed.	• Preparation Phase • Planning • Project Management
October 2000	The project manager was retrained as an EFQM Excellence Model assessor (previously trained in 1995)	• Preparation Phase • Planning • Education and Training
23 October 2000	"Presentation by Quality Working Group to Faculty Executive" was an attempt to sell the benefits of the EFQM Model to the Faculty Executive and address the issues raised in the previous presentation.	• Decision Phase • Motive • Objectives and Expected Benefits • Preparation Phase • Gaining Senior Management Commitment
23 October 2000	"Email from author to Quality Working Group members re; Faculty Executive presentation" 31/3/00 showed that the Faculty Executive made the decision to use the EFQM Excellence Model on 23/10/00.	• Decision Phase • Motive • Alternatives considered, support for the decision
December 2000	The project manager was trained in PRINCE2 project management methodology.	• Preparation Phase • Planning • Project Management • Education and Training
January 2001	Presentation to 1 of the 5 School Executives by the Project Manager to try to gain senior management commitment.	• Preparation Phase • Gaining Senior Management Commitment
Early 2001	One round of self-assessment had taken place in the pilot school.	• Implementation and Evaluation Phase • Integration • Actual uses of the EFQM Model

9 July 2001	"Email from the Project Manager to the author re: improvement groups and roll out" included an outline plan with dates and a plan to set up an improvement group in the pilot school.	• Preparation Phase • Planning • Project Management • Staff Involvement and Teamwork
Between June and September 2001	"Presentation by Project Manager to consortium project board" (undated) included an outline plan for rolling the implementation out to the Faculty.	• Preparation Phase • Planning • Project Management
September 2001	Implementation to start in the Faculty Office (planned).	This was part of the plan rather than actions taken.
November 2001	Implementation to start in the second school (planned).	This was part of the plan rather than actions taken.
January 2002	Implementation to start in the third school (planned).	This was part of the plan rather than actions taken.
March 2002	Implementation to start in the fourth school (planned).	This was part of the plan rather than actions taken.
April 2002	Presentation to 1 of the 5 School Executives by the Project Manager to try to gain senior management commitment.	• Preparation Phase • Gaining Senior Management Commitment
May 2002	Implementation to start in the fifth school (planned).	This was part of the plan rather than actions taken.
September 2002	A workshop using RADAR logic with the Dean's Advisory Group to try to agree on some key results areas for the Faculty.	• Preparation Phase • Gaining Senior Management Commitment • Implementation and Evaluation Phase • Integration • Actual uses of the EFQM Model

Table 6.2: Case Study 'B' Time-Series Analysis

6.2.4 Case Study 'B' Program Logic - comparison with Theoretical Framework

Decision Phase

Motive

There was no shared motive for using the EFQM Model. The Faculty was looking for a system to manage quality in its broadest sense.

- **Objectives and Expected Benefits**

  There was no consistent view of the expected benefits of using the EFQM Model and no clear objectives were set for its use.

- **Alternatives considered, support for the decision**

  A number of alternatives were considered. A qualified decision was made to use the EFQM Model followed by a full decision to use it.

- **Intended uses of the EFQM Model**

  The main intended use of the EFQM Model was as a self-assessment framework to aid improvement.

- **Pace**

  The decision phase took place over a protracted period of time. It took the Faculty Executive over 12 months to consider the alternatives and arrive at a decision to use the EFQM Model. The HEFCE project had already been underway for 6 months by this time. Generally the expected timescales in which the benefits would be accrued was around 3 years.

Preparation Phase

Gaining Senior Management Commitment

As the Faculty Executive initiated the project and were informed by the quality improvement group the process of gaining senior management commitment actually started during the decision phase and continued into the early part of the preparation phase. As the implementation was planned to start with a pilot and then a roll out to each of the other schools in turn, the project manager had to attempt to gain senior management commitment from each School Executive at each stage. Two years into the project there was an attempt to try to regain senior management commitment to the project in the Faculty Executive. The perceived level of senior management commitment at the start of the project was 3.75 out of 7.

Pace

The initial actions that were taken to try to gain senior management commitment took place in the first few months of the project. At this point the pace could be seen as acceptable, however two years later the project manager had to try to regain senior management commitment as progress with the project had stalled.

Planning

- **Resistance to Change**

  No change models were considered for use in the implementation.

- **Culture/Context assessment**

  There was no attempt by the Faculty Executive to assess the organisational culture. Any assessment of culture took place on an individual level.

  Management style wasn't assessed collectively. The perception was that the management style was collegial.

Only the project manager considered the individualism of academic staff. He thought that this could be a barrier. The perception was that there was a tendency towards individualism.

The professional nature of academic staff was only considered by the project manager. The perception was that the academic staff saw themselves as professionals.

Academic freedom and the critical nature of academic staff were not considered collectively. The two staff who considered this thought that it might be a barrier. The perception was that academic staff exercised a great deal of academic freedom and criticality.

Recognition/rewards for involvement in EFQM implementation was not considered.

The language and terminology in the EFQM Model was not considered by the Faculty Executive. The project manager had decided that it would be best not to mention the EFQM model.

Only the project manager considered the Faculty culture of support. The general perception was that the culture in the Faculty was supportive, although the project manager perceived it as unsupportive.

- **EFQM Model specific choices**
  There was great confusion about the approach used in self-assessment. It was decided not to use scoring. It was decided to use RADAR Logic.

- **Demonstrating Senior Management Commitment**
  There were no specific plans for how senior management commitment to the implementation would be demonstrated.

- **Project Management**
  A steering group was set up at the University level for the wider project, but not at the Faculty level. A project manager was appointed and an outline project plan was developed. A pilot and rollout approach was decided on. A very large number of other major initiatives/projects were taking place at the same time as the EFQM Excellence Model implementation. Only the project manager was aware of the project progress monitoring arrangements. The project was resourced.

- **Education and Training**

  The only planned training was for the project manager. Internal consultants were available but not used.

- **Communication**

  Although there was an overall communications plan for the consortium there was no local communications plan.

- **Staff Involvement and Teamwork**

  There was no generally understood plan for involving staff in the implementation.

- **Pace**

  The small amount of planning that took place in the preparation phase mainly occurred early in the preparation phase, although the project plan was redone later in the project as progress had stalled.

Implementation and Evaluation Phase

- **Pace**

  The implementation actions began within 3 months of the preparation phase being completed.

Integration

Two different approaches were used to integrate the EFQM Model.

- **Multi-level use in the organisation**

  The EFQM Model was partly implemented at two levels.

- **Alignment with other organisational systems**

  No attempts were made to align the EFQM Model with other organisational systems.

- **Actual uses of the EFQM Model, particularly its use in strategic planning**

  Once for self-assessment and once (partly) in strategic planning.

- **Staff Involvement and Teamwork**

  Staff involvement with the EFQM Model had not been achieved. Only about 3% of the Faculty's staff had any involvement with the use of the EFQM Model.

- **Pace**

  The initial self-assessment in the pilot school took place within the first six months of the project, however the next time the model was used was 2 years into the project. The pace of the integration element of the implementation and evaluation phase was very slow.

Momentum

No approaches were utilised to provide momentum to the implementation.

- **Project Management**

  The project manager was in post for the whole 3-year period of the project. No progress monitoring took place at the Faculty level. An activities plan was in place but wasn't followed. The resources allocated to the project were maintained throughout the project. The available internal consultant was not used.

- **Demonstrating Senior Management Commitment**

  There were no examples of senior management commitment to the project being demonstrated. There was an extremely high number of changes in the membership of the Faculty Executive. The perception was that very little senior management commitment was demonstrated during the project (2 out of 7). This compares with 3.75 out of 7 at the start of the project.

- **Communication**

  No communication took place to inform staff about the project.

- **Education and Training**

  No education and training took place apart from that planned for the project manager.

- **Improvement Planning, Action and Review**

  Improvement planning, action and review was not carried out.

- **Recognition and Rewards**

  There wasn't any recognition of or rewards for staff involved in the EFQM implementation.

- **Evaluation of Benefits**

  The expected benefits of using the EFQM Model were not achieved.

- **Pace**

  Almost no actions had taken place that might have produced momentum in the implementation. The overall view was that the implementation did not progress on schedule. The pace of implementation was seen as being too slow.

Effectiveness of the Implementation

The shared view (with one marginal exception) was that the level of implementation was in the lower half of the entry level. The author's assessment of the level of implementation from his knowledge of the case concurred with this.

Thus the implementation could be assessed as having been ineffective. This can be explained by comparing what actually happened with the theoretical framework.

In the decision phase there had been a fairly clear internal motive for using the EFQM Model. A reasonable degree of senior management commitment to the project had been gained at the start of the preparation phase.

In the planning element of the preparation phase there was no attempt to assess potential resistance to change and no systematic attempt to assess the culture/context. There was no plan to demonstrate senior management commitment, very little education and training was planned and there was no plan to involve staff. On the positive side some of the expected elements of project management were put in place, choices were made relevant to the specifics of using the EFQM Model and a communications plan was put in place.

In the integration element of the implementation and evaluation phase very little integration was achieved. The EFQM Model was used to a small extent for self-assessment but was only used in strategic planning in a marginal way. The model was only used to a small extent in two organisational levels and was not aligned with other organisational systems. Staff were not involved in teams.

In the momentum element of the implementation and evaluation phase, very few of the elements that might have produced momentum were addressed. Little project monitoring took place and improvement planning did not occur, senior management commitment wasn't demonstrated, communication did not take place, very little education and training was carried out, there were no rewards or recognition for staff involved in the implementation and benefits were not achieved through using the EFQM Model.

6.3 Case Study 'C'

6.3.1 Case Study 'C' Background (2002-2003)

Size of the University

The University in which case study 'C' took place has 16,755 students, 727 academic staff and 1,276 support staff.

University History

The University is a post 1992 institution. Its origins go back to 1825.

University Academic Structure

The University comprises six Faculties each with a number of Schools within them.

University Governance

The Academic Board is the principal academic body of the University. It draws its members from the academic staff and students of the University. Its role is to direct and regulate the teaching, enterprise and research of the University. This includes approving all courses and over-seeing all aspects of academic quality assurance. The Vice Chancellor is the Chairman of the Academic Board.

The Executive Board of the University is comprised of the Vice Chancellor, four Pro Vice Chancellors and the Directors of the major service departments. The Strategic Management Group is as for the Executive Board with the addition of the Deans of Faculty and two more directors of service departments. The Management Group is as for the Strategic Management Group plus all other Heads of School and Managers of service departments.

Academic Management

The Deans of Faculty report to the Vice Chancellor. Heads of School report to their Dean of Faculty. All Academic Managers are appointed on a permanent basis.

Split of Activities

This University was not happy to release the HEFCE Transparency Review figures that would have indicated the relative amount of academic staff time spent on Teaching, Research and Enterprise activities. The interviewees did not feel sufficiently informed to offer a view on this.

Size of the Case Study School

The case study school has 60 academic staff, 49 support staff and 1,040 students.

History of the Case Study School

The School was formed in 1997 from the merger of two schools. The school was placed into a new Faculty-based structure in 2003.

Structure of the Case Study School

The school is made up of a number of discipline-based groups.

Governance of the Case Study School

The School Board is the principal academic body of the School. It draws its members from the academic staff and students of the School. Its role is to direct and regulate the teaching and research of the School. This includes approving all courses and over-seeing all aspects of academic quality assurance. The Director of the School is the Chairman of the School Board.

Academic Management of the Case Study School

Executive decisions are made by the Senior Management Team of the School. This is chaired by the Director of the School and comprises the Deputy Director and senior academic staff (often Professors) representing each of the discipline groups.

Split of Activities in the Case Study School

Teaching 50%

Research 20%

Enterprise 30%

6.3.2 Case Study 'C' Interview and Document Analysis

Appendix 11 is the analysis matrix for case study 'C'. The patterns emerging from the analysis matrix are summarised here. Appendix 12 is the list of documents from Case study 'C' that are referred to in Appendix 11. These documents are contained in the case study database for case 'C'.

INITIAL DECISION

The Excellence Model was first considered in late 1999/early 2000. No alternatives were considered. It was unclear when the decision was taken to use the EFQM Model. It was somewhere between late 1999 and October 2000. The decision was either taken by the Vice Chancellor, having located a willing pilot school or by the School's management team with a strong steer from the Vice Chancellor. Three of the four interviewees were involved in making this decision. It would appear that the decision was fully supported by the School's management team. Although the interviewees all phrased their responses differently, the themes that emerged about the motives for using the EFQM Model were:

School improvement. Benefits in management decision-making. Becoming more proactive, less reactive.

The main intended use of the EFQM Excellence Model was:
Self-assessment framework to aid improvement. In addition the project manager listed the following:
To provide a holistic, broader view of the business. A means of integrating other quality and management initiatives and tools. To motivate staff to get involved in quality improvement activities (partly). The Professor interviewed (C4) thought that it would be used as a performance management tool.

The interviewees mentioned a number of expected benefits or objectives:
To improve the school. To improve the management of the school. To become proactive. The project manager (Director of the School) had an objective to develop a strategic planning system.

The anticipated timescale in which the expected benefits would be accrued was 2-3 years, but then it would be continual.

GAINING SENIOR MANAGEMENT COMMITMENT

Three main actions were taken to gain senior management commitment: The Head of School made a presentation to the School's Senior Management Team (SMT). There was a specific one-day training session on 9 November 2000 for the SMT plus the managers of those staff to be included in the diagonal slice. This was run by a consultant from the HEFCE consortium and was designed to increase awareness and understanding. The Vice Chancellor was involved in various training sessions and meetings. These actions took place in the last quarter of 2000 and the early part of 2001. The perceived level of senior management commitment at the start of the project was:
Mean = 6.25
Range 5.5 to 7
(1 = None, 7 = Full)
Senior management commitment was seen as being very high, although the project manager (Director of the School) thought that it ranged from 3 to 7.

PREPARATION

Were any change models considered for use during the implementation? (e.g. force field analysis)

No change models were considered for use in the implementation.

Were the motive and objectives in using the EFQM Excellence Model communicated to staff?

The motive and objectives in using the EFQM Excellence Model were communicated to staff in the school. These were communicated by a staff newsletter and an address to staff by the Director of the school. There was an invitation to school staff to join the diagonal slice that was to carry out self-assessment. This happened in late 2000. One interviewee thought that this communication only took place with the diagonal slice members.

Culture/Context

Was there an attempt to assess the organisational culture?

There was no collective attempt to assess the organisational culture

The management style wasn't considered in the preparation. The interviewees' perceptions of management style was:

Mean = 4.9

Range 4 to 6.5

(1 = Collegial, 7 = Managerial)

The management style was seen as quite managerial.

Only the project manager had considered the individualism of staff in the preparation phase. The project manager thought that some individuals were anti-managerial and were against management models. Some individuals would not want to be in a team. The interviewees' perceptions of academic staff individualism was:

Mean = 4.9

Range 4 to 5.5

(1 = Individual, 7 = Teamworking)

The staff were seen as team-centred with some pockets of individualism.

The professional nature of academic staff was not taken into consideration in the preparation. The interviewees' perceptions of the professional nature of academic staff was:

Mean = 6.25

Range 5.5 to 7

(1 = Low, 7 = High)

The interviewees thought that the academic staff saw themselves as professionals.

Academic Freedom/critical nature of academic staff was not taken into consideration in the preparation. The interviewees' perceptions of how much academic freedom and criticality was exercised by staff was:

Mean = 5.9
Range 4 to 7
(1 = Low, 7 = High)
It was thought that the academic staff exercised a great deal of academic freedom and criticality.

Recognition/rewards for involvement in EFQM implementation was considered but it was decided not to plan any. The reasons for not planning any rewards/recognition were:
If work on this project was rewarded then other things would have to be. A concern that volunteers might not come forward for the "right" reasons. Cash was not within the Director's gift.

The language/terminology in the EFQM Model was not tailored to suit the culture/context. The reasons for not changing the language/terminology were:
The language was seen as OK (the public sector version was used). The school was guided by the HEFCE consultant, who indicated that the school would then be using the same model as anyone else using it. One interviewee thought that some staff "struggled" with the language.

Only the project manager considered the school culture of support in the preparation. The project manager thought that there would be an expectation from the school members of management support. The interviewees' perceptions of the culture of support in the school was:
Mean = 4.3
Range 2 to 5.5
(1 = Blame/Fear or Unsupportive/Uncooperative, 7 = Supportive/Cooperative)
There was a range of opinions on the culture of support in the school. It was seen to be moving towards being supportive/co-operative. There had been a blame culture in the past.

Issues specific to the use of the EFQM Excellence Model

A workshop approach to self-assessment had been used with a diagonal slice of staff. This approach was recommended by the HEFCE consultant. A decision was taken on 14 September 2000 to use scoring. The reasons why it was decided to score were:
The academic discipline of the staff in the school meant that they would be attracted to numbers. It is part of the culture. It was chosen by the self-assessment teams because they had been trained to score. On reflection, one interviewee thought that perhaps using scoring wasn't a good thing. The intended uses of the scores were:
For comparison of problems in order to identify areas for improvement that would have the most impact. To check possible improvement. "To see where we stood".

It was decided not to change the criterion weightings in the model. There was no clear reason for leaving the criterion weightings as they were. The project manager thought that this would aid Benchmarking.

A decision was made to use RADAR logic in the implementation. The reason for using RADAR logic was to help with scoring.

Demonstrating Senior Management Commitment

A number of actions were planned in order to demonstrate senior management commitment to the implementation:

Two members of the diagonal slice came from the SMT. It was a standing item on the SMT agenda. The Director of the School coordinated meetings. The diagonal slice members didn't have to make an appointment to see the Director of the School. The Head of School facilitated some of the training sessions. The Head of School undertook EFQM Assessor training. The Vice Chancellor was "visible" during the training sessions. These approaches were chosen to demonstrate visibility and practical involvement.

Project Management

There was no separate steering committee. This function was to be carried out by the school's SMT. The Director of the School was appointed as the Project Manager in summer 2000. The Project Manager had no previous knowledge of or experience with the EFQM Excellence Model, however he had previous experience of managing projects. The project manager received EFQM assessor training in March/April 2002. He thought that this would have been better before the first self-assessment in Spring 2001. There was no detailed project plan. The project timetable was constructed by the consortium members and the consultants. The pace was dictated by the HEFCE funded consortium. The first self-assessment had to be done by Spring 2001. The implementation was done across the school. The reasons for this were:

The School was a pilot for the whole University. The School had reasonable staff numbers to do it across the School. (About 60 academics and 40 support staff). It was better politically to self-assess all the school rather than some of it. The "Diagonal Slice" was school-wide and it pulled members of the school together. There were some other initiatives/projects taking place at the same time as the EFQM implementation:

One part of the school underwent an external Subject Review. There was a "budgeting crisis". The new Vice Chancellor was making structural changes to the University. As a result, the School became part of a Faculty. Many new programmes were being validated. "The usual heavy workload".

Progress of the project was to be monitored by the project manager and the SMT and also by the HEFCE consortium project manager.

The following resources were allocated to the project:
The Project Manager (No specific % of time but averaged about one to one and a half days per week on the project). The Diagonal Slice Team (14 staff), between half and one day per week each. Some money for training and the release of staff from other duties.

Education and Training

The following training was planned to support the implementation:
A one-day seminar for senior managers planned for 8 November 2000. A three-day training session in the model and improvement tools and techniques for a team of 10 planned for 14-16 November 2000. A one-day training session for the team of 10 on gathering and analysing evidence for self-assessment. The planned training was recommended by the consortium consultant and the training was carried out by the external consultant and the HEFCE consortium Project Manager.

Consultants from the HEFCE consortium were used. The reasons for using the consultants were:
Experience was needed early in the project. Money was available from the HEFCE project to pay for this support. The consultants were experts in the use of the EFQM Model.

Communication

There was no initial communications plan.

Planned involvement in the implementation process and use of the EFQM Excellence Model

It was planned to involve staff in the implementation process and use of the EFQM Excellence Model in the following ways:
In the diagonal slice, made up of some selected members and some volunteers (these were selected from a pool in order to get a good cross-section of the school), that would conduct the self-assessment. This approach to staff involvement was chosen to get a good cross-section of the school to carry out self-assessment and was designed to get wide involvement and views. Involvement in the improvement groups. The improvement teams were to implement improvements. Improvement team members were suggested by the SMT based on appropriate expertise, but with some flexibility to include volunteers.

The use of teams was considered. Teams were used to get staff involved across the school through the groups described above. Three Improvement Groups with 6 staff in each were set up after the self-assessment. The Improvement Group members were half from the Diagonal Slice and half who were not.

MOMENTUM

Improvement Planning, Action and Review after self-assessment

Improvement Planning, Action and Review after self-assessment took place on 8 March 2001. This was carried out by he Diagonal Slice facilitated by the consultant. Pareto Analysis was used. It was difficult but consensus on which improvement projects to address was reached. The self-assessment outcomes were linked with the strategic priorities of the University. Improvement teams were set up with members of the diagonal slice joined by other staff who had particular experience that would be useful to the projects. This approach maintained the involvement and ownership of the diagonal slice. It was seen as an advantage to do it this way as the group had lost their inhibitions to discuss problems. The improvement projects addressed 3 key issues in the school. The emphasis was to get some quick wins (12 of these were planned), which could be used to serve as examples of improvement. Three others were chosen to have a big impact on the school.

Did the implementation progress on schedule?

The overall view was that the first year of the project progressed on schedule, but only one of the three improvement projects progressed on schedule. The perceived reasons for the project falling behind schedule were:

The improvements groups didn't bed down quickly. Sometimes there was more talking than action. There were some negative views of "it can't be done" and "why are we doing this?" from members who hadn't been in the diagonal slice. Organisational changes affected the staff focus. Particularly the Head of School was about to move to the role of Research Institute Director. Momentum was lost in the improvement project stage because of the pressures of other work. There were attempts to regain momentum. The Project Manager stepped in and guillotined some issues with all three of the improvement groups. The Chairs for the improvement groups were appointed from within the diagonal slice. The overall view though was that momentum was lost and not regained.

Little communication took place to inform staff about progress with the implementation. There was a Newsletter and the Director of the School's "State of the Nation" address to the school. One interviewee said that there was very little formal communication. "Thank goodness for the grapevine". The project manager thought that perhaps more communication was needed after the self-assessment and before the improvement groups got started.

Were the expected benefits of using the Excellence Model achieved?

The expected benefits were only partly achieved. The self-assessment helped with strategic planning, problems were grouped and prioritised and consensus was gained in the diagonal slice group but not in the improvement groups. Initially the process helped to pull the school together, however suggested improvements were not implemented. The major barriers to achieving the benefits were seen to be:

That members of the improvement groups who hadn't been in the diagonal slice needed to see the evidence for the areas for improvement for themselves. The members of the improvement groups were powerless to implement their recommendations for improvement. Between January 2002 and September 2002 only one of the three improvement teams was active. The Director of the School changed in August 2002, so in effect the project did not have a project manager for the last year. The focus on other projects to help ease the financial pressures on the school. The above led to a loss of focus, direction and momentum.

Do you think the pace of implementation was: too slow, too quick, about right?

There were mixed views on the pace of implementation. One interviewee thought it was too quick, one too slow and two about right (one of these thought it slowed down considerably after the first 12 months). The reason given by the project manager for believing that the implementation was too quick, initially, was that the first self-assessment was "pushed" by the HEFCE consortium. He felt it would have been better to fit it in with the cycle of the academic year. The interviewee who thought that it was too slow thought that too much time was spent on the initial workshops. More effort was needed to manage the improvement projects. The one who felt that the pace had slowed thought that the EFQM implementation had become a "distraction" to some staff. One interviewee thought that the rate of progress was about right considering all the other commitments in the school.

Was senior management commitment maintained throughout the implementation?

The Director and Deputy Director of the school thought that senior management commitment had been maintained but the other two interviewees appeared not to be convinced of this. One thought that some of the SMT remained committed, others focussed on other priorities. The fourth interviewee offered no comment but raised his eyebrows. The author took this to mean that he didn't think that senior management commitment hadn't been maintained. Senior management commitment was demonstrated during the implementation in a number of ways:

Two members of the diagonal slice came from the SMT. It was a standing item on the SMT agenda. The Director of the School coordinated meetings. Diagonal slice members didn't have to make an appointment to see the Director of the School. Senior management were involved in the training. By senior management involvement in the improvement teams. The "HEFCE Consortium Briefing Document" September 2000 was part prepared by the Vice Chancellor of

the case study school's University. The Vice Chancellor opened the "School Action Planning Meeting" on 8 March 2001.

The following helped to maintain senior management commitment:
The overall aims were seen as important. The improvement projects were seen as important. There was enthusiasm for the EFQM Model.

The issues which negatively affected senior management commitment were:
The focus on other priorities. Two of the three improvement projects did not make progress. The implementation was not discussed at the school's senior management team meetings. There was much crisis management. Developmental projects such as this one took a back seat. The Director of the School stepped down 2 years into the project and no longer led the project. As a consequence, there was no Project Manager for the last year. One interviewee thought that momentum had been lost by then anyway.The interviewees' perceptions of the extent to which senior management commitment was demonstrated during the course of the implementation was:
Mean = 3.9
Range 2.5 to 5
(1 = None, 7 = Full)
It was felt that senior management commitment was demonstrated to a reasonable extent.

Was the planned level of resources maintained during the implementation?
There were mixed views on whether the planned level of resources was maintained during the implementation. One interviewee thought that the loss of the project manager for the last year of the project meant that the planned level of resources wasn't maintained throughout the project. In addition not all the available funding was used. It was thought that more training and support for the improvement groups was needed.

Was the planned staff training carried out?
The planned staff training was carried out. The training had a number of positive effects:
There was a positive effect on behaviour, particularly the values and vision of the diagonal slice members. It helped to put things into context using examples, cases and discussion and it helped to familiarise staff with basic quality tools. Staff started to use the terminology of the EFQM Model.

Was there any recognition of or rewards for staff involved in EFQM implementation?
There were no rewards for staff involved in the EFQM implementation, however there were a number of instances of recognition:

Verbal thanks to various staff. Verbal support from the Vice Chancellor. Written thanks from the VC to the project manager. The Vice Chancellor ran a draw with the winners receiving tickets to one of the Queen's Garden Parties at Buckingham Palace.

INTEGRATION

How many organisational levels was the EFQM Excellence Model implemented in?

There were mixed views on how many levels the self-assessment had been carried out in. The only documented self-assessment was at the school level.

How was RADAR logic used in the implementation?

RADAR Logic was used:

To aid scoring, to help define priorities for improvement and to guide logical thought supported by evidence.

Was the planned level of staff involvement with the EFQM Excellence Model achieved?

The planned level of staff involvement was mainly achieved. 18 out of 85 staff in the school were involved in the diagonal slice. Only one of the three improvement groups was really active. The partial lack of staff involvement was because of the focus on other priorities.

How many rounds of self-assessment have been carried out and when?

One round of self-assessment was carried out in March 2001.

What has the model actually been used for and how often?

The model was actually used:

As a self-assessment framework.

As a strategic tool (the school's 2002 strategic plan was based on the self-assessment outcomes).

To provide a holistic, broader view of the business.

To motivate staff to get involved in quality improvement activities.

Was the EFQM Model aligned with other organisational systems? E.g. Subject Review, Institutional Audit, Individual Performance Appraisal System, Internal Quality Reviews.

The EFQM Model was not aligned with other organisational systems.

GENERAL

Has anything else that we haven't already discussed helped in the EFQM implementation?

One interviewee thought that the application of commonsense provided by the EFQM Model, particularly for those who were not management or control orientated had helped in the implementation.

Has anything else that we haven't already discussed hindered the EFQM implementation?

There were some other issues that the interviewees felt had hindered the implementation:

There were some instances of some senior University staff (outside the School) feeling "threatened" by the pilot project in the School. The change of school leadership. The multi-tasking of individuals who had a plethora of roles. Differing levels of commitment. No time was allocated to staff for improvement project work. Momentum was "killed" in April to June 2002 because of exam pressures.

How were these hindrances overcome?

The first of the hindrances was overcome by the Director of the School talking through their concerns with them. Mostly though the hindrances weren't overcome.

How would you assess your level of EFQM implementation?

There were mixed views on the level of implementation. 2 interviewees thought this was in the lower half of the maturing level and 2 in the upper half of the entry level.

6.3.3 Case Study 'C' Time-Series Analysis

DATE	ACTION	PHASE OR ELEMENT OF THE THEORETICAL FRAMEWORK
Late 1999/early 2000	The Excellence Model was first considered.	• Decision Phase • Motive • Intended uses of the EFQM Model
Somewhere between late 1999 and October 2000	It was unclear when the decision was taken to use the EFQM Model.	• Decision Phase • Motive • Intended uses of the EFQM Model
Summer 2000	The Director of the School was appointed as the Project Manager.	• Preparation Phase • Planning • Project Management
September 2000	The "HEFCE Consortium Briefing Document" was part prepared by the Vice Chancellor of the case study school's University.	• Preparation Phase • Planning • Demonstrating senior management commitment

14 September 2000	"Memo to SMT from Director of School" showed that it was planned to apply the model's scoring mechanism and showed an outline timetable for the consortium. This also showed three planned elements of training: A one-day seminar for senior managers planned for 8/11/00. A three-day training session in the model and improvement tools and techniques for a team of 10 was planned for 14-16/11/00. A one-day training session for the team of 10 on gathering and analysing evidence for self-assessment was planned for 14 December 2000.	• Preparation Phase • Planning • EFQM Model specific choices • Education and Training • Communication • Staff Involvement and Teamwork
Late 2000	The Director of the School made a presentation to the School's Senior Management Team (SMT) to explain the use of the EFQM Model.	• Implementation and Evaluation Phase • Momentum • Communication • Education and Training • Demonstrating senior management commitment
9 November 2000	There was a specific one-day training session to introduce the EFQM Model for the SMT plus the managers of those staff to be included in the diagonal slice.	• Implementation and Evaluation Phase • Momentum • Education and Training
Late 2000	The motive and objectives in using the EFQM Excellence Model were communicated to staff in the school. There was an invitation to join the diagonal slice.	• Implementation and Evaluation Phase • Momentum • Communication
14-16 November 2000.	A three-day training session in the model and improvement tools and techniques for a team of 10 was run.	• Implementation and Evaluation Phase • Momentum • Education and Training
14 December 2000	A one-day training session for the team of 10 on gathering and analysing evidence for self-assessment was run.	• Implementation and Evaluation Phase • Momentum • Education and Training
12-13 February 2001	"Consensus Workshop Agenda" showed the involvement of the consultants from the HEFCE Consortium.	• Implementation and Evaluation Phase • Integration • Actual uses of the EFQM Model • Staff Involvement and Teamwork
March 2001	One round of self-assessment was carried out. The school's 2002 strategic plan was based on the self-assessment outcomes.	• Implementation and Evaluation Phase • Integration • Actual uses of the EFQM Model, particularly its use in strategic planning.

8 March 2001	"School Action Planning Meeting" showed that Improvement Planning, Action and Review took place. The Vice Chancellor opened the meeting, The emphasis was to get some quick wins (12 were planned), which could be used to serve as examples of improvement. Three others were chosen to have a big impact on the school.	• Implementation and Evaluation Phase • Momentum • Improvement Planning Action and Review • Demonstrating senior management commitment
Late 2000/Early 2001	The Vice Chancellor was involved in various training sessions and meetings.	• Implementation and Evaluation Phase • Momentum • Demonstrating senior management commitment
21 June 2001	"Memo from VC to Project Manager" shows the Vice Chancellor recognising the project manager's presentation on EFQM at a conference.	• Implementation and Evaluation Phase • Momentum • Recognition & Rewards
Between January 2002 and September 2002	Only one of the three improvement teams was active.	• Implementation and Evaluation Phase • Momentum • Pace
April to June 2002	Momentum was "killed" because of exam pressures.	• Implementation and Evaluation Phase • Momentum • Pace
March/April 2002	The project manager received EFQM Assessor training. He thought that this would have been better before the first self-assessment in Spring 2001.	• Implementation and Evaluation Phase • Momentum • Education and Training
August 2002	The Director of the School changed. So in effect the project did not have a project manager for the last year.	• Implementation and Evaluation Phase • Momentum • Demonstrating senior management commitment

Table 6.3: Case Study 'C' Time-Series Analysis

6.3.4 Case Study 'C' Program Logic - comparison with Theoretical Framework

Decision Phase

Motive

There were shared internal motives for using the EFQM Excellence Model.

- **Objectives and Expected Benefits**

  A number of objectives and expected benefits were expressed.

- **Alternatives considered, support for the decision**

  No alternatives were considered and the decision to use the EFQM Model was supported by the school's senior management team.

- **Intended uses of the EFQM Model**

  The main intended use was as a self-assessment framework to aid improvement.

- **Pace**

  The decision phase was completed within about the first six months. The expected timescale in which the benefits would be accrued was 2-3 years.

Preparation Phase

Gaining Senior Management Commitment

Much effort was put into gaining senior management commitment. The perceived level of senior management commitment at the start of the project was very high at 6.25 out of 7.

Pace

The initial actions that were taken to try to gain senior management commitment took place in the first three months of the project. This first element of the preparation phase happened at a good pace.

Planning

- **Resistance to Change**

  No change models were considered for use in the implementation.

- **Culture/Context assessment**

  There was no collective attempt to assess the culture/context, although the project manager had given some thought to some of the elements of this.

  Management style wasn't considered in the preparation. The perception was that the management style was quite managerial.

  Only the project manager considered the individualism of academic staff in the preparation phase. He thought that this could be a barrier. The perception was that the staff were team-centred with some pockets of individualism.

  The professional nature of academic staff was not taken into consideration in the preparation. The perception was that the academic staff saw themselves as professionals. Academic freedom and the critical nature of academic staff were not taken into consideration in the preparation. The perception was that academic staff exercised a great deal of academic freedom and criticality.

Recognition/rewards for involvement in EFQM implementation was considered but it was decided not to plan any.

The language and terminology in the EFQM Model was not tailored to suit the culture/context.

Only the project manager considered the School culture of support in the preparation. The project manager thought that there would be an expectation from the school members of management support. There was a range of opinions on the culture of support in the school. It was seen to be moving towards being supportive/co-operative. There had been a blame culture in the past.

- **EFQM Model specific choices**

  The workshop approach to self-assessment was chosen. A decision was made to use scoring and to leave the criterion weightings in the EFQM Model as they were. It was decided to use RADAR Logic in the implementation.

- **Demonstrating Senior Management Commitment**

  Many actions were planned in order to demonstrate senior management commitment to the implementation.

- **Project Management**

  The steering function was planned to be carried out by the school's SMT. A project manager was appointed. The Vice Chancellor acted as the project champion and a project consultant was used. There was a general timetable for the implementation and resources were allocated to the project. The implementation wasn't piloted. There were some other initiatives/projects taking place at the same time as the EFQM implementation.

- **Education and Training**

  A very comprehensive training plan was put in place. Consultants were used to carry out the training.

- **Communication**

  There was no initial communications plan.

- **Staff Involvement and Teamwork**

  Extensive involvement of staff in teams was planned.

- **Pace**

  The planning element of the preparation phase was carried out quickly within the first month of the project.

Implementation and Evaluation Phase

- **Pace**

  The implementation actions began within one and a half months of the preparation phase being completed.

Integration

Three different approaches were used to integrate the EFQM Model.

- **Multi-level use in the organisation**

  The EFQM Model was used in one level.

- **Alignment with other organisational systems**

  The EFQM Model was not aligned with other organisational systems.

- **Actual uses of the EFQM Model, particularly its use in strategic planning**

  The main use of the model was as a self-assessment framework, it provided a holistic, broader view of the business and motivated staff to get involved in quality improvement activities. The school's 2002 strategic plan was based on the self-assessment outcomes.

- **Staff Involvement and Teamwork**

  The planned level of staff involvement was mainly achieved through the diagonal slice and the three improvement groups. About 30% of the school's staff were involved with the use of the EFQM Model.

- **Pace**

  The initial use of the EFQM Model happened within the first 7 months of the start of the project. The integration element of the implementation and evaluation phase started quickly, however the use of the EFQM Model and the staff involvement stopped around 18 months into the project.

Momentum

Five approaches were utilised to provide momentum to the implementation, but these were mostly only used in the first 18 months.

- **Project Management**

  The project manager was only in post for the first two years of the 3-year period of the project. Little progress monitoring took place at the school level. An activities plan was in place for the first year of the project and was followed. The resources allocated to the project were not maintained throughout the project.

- **Demonstrating Senior Management Commitment**

  Senior management commitment was demonstrated during the implementation in a number of ways, particularly in the first year. There were some signs that it had waned over the last two years. The perception was that some senior management commitment was demonstrated during the project (3.9 out of 7). This compares with 6.25 out of 7 at the start of the project.

- **Communication**

  Some communication took place within the school about the EFQM implementation but this was mostly in the first six months. There was a feeling that there hadn't been enough communication.

- **Education and Training**

  A considerable amount of training took place during the first six months of the project.

- **Improvement Planning, Action and Review**

  This started about six months into the project and some minor improvement actions were carried out, however the three improvement groups lost momentum in years 2 and 3.

- **Recognition and Rewards**

  There were no rewards for staff involved in the EFQM implementation, however there were a number of instances of recognition.

- **Evaluation of Benefits**

  The expected benefits were only partly achieved.

- **Pace**

  Many actions had taken place that would be expected to produce momentum in the implementation. The overall view was that the first year of the implementation progressed on schedule. The pace of implementation was seen as being about right in the first year but it had slowed down considerably after that.

Effectiveness of the Implementation

The view was that the level of implementation was about on the boundary of the upper half of the entry level and the lower half of the maturing level. The author's assessment of the level of implementation from his knowledge of the case concurred with this.

Thus the implementation could be assessed as having been somewhat effective. This can be explained by comparing what actually happened with the theoretical framework.

In the decision phase there had been clear internal motives for using the EFQM Model, clear objectives and expected benefits, and clear views on the intended uses of the EFQM Model. A high degree of senior management commitment to the project had been gained at the start of the preparation phase.

In the planning element of the preparation phase there was no attempt to assess potential resistance to change and only the project manager had attempted to assess the culture/context. There was a strong plan to demonstrate senior management commitment, extensive education and training was planned and there was a clear plan to involve staff. Most of the expected elements of project management were put in place, choices were made relevant to the specifics of using the EFQM Model, but no communications plan was put in place.

In the integration element of the implementation and evaluation phase very little integration was achieved. The EFQM Model was used once for self-assessment and was only used in strategic planning on one occasion. The model was only used in one organisational level and was not aligned with other organisational systems. Staff were involved in teams.

In the momentum element of the implementation and evaluation phase, most of the elements that might have produced momentum were addressed. Some project monitoring took place and improvement planning did occur, senior management commitment was demonstrated in the early stages of the project, some communication took place, extensive education and training was carried out, there was some recognition for staff involved in the implementation and some of the expected benefits were achieved through using the EFQM Model. On the negative side, momentum was lost because the improvement groups did not function properly and therefore did not produce the expected improvements and the fact that the project manager who was also the Director of the School moved to a different role after 2 years meant that senior management commitment was lost.

6.4 Case Study 'D'

6.4.1 Case Study 'D' Background (2002-2003)

Size of the University

The University in which case study 'D' took place has 16,432students, 853academic staff and 1,321 support staff.

University History

The University is a pre-1992 institution. Its origins go back to 1896.

University Academic Structure

The University is made up of four Faculties, which contain 14 Schools. Research activity is organised into a number of Research Institutes.

University Governance

Senate is the principal academic body of the University. It draws its members from the academic staff and students of the University. Its role is to direct and regulate the teaching, enterprise and research activities of the University. This includes approving all courses and over-seeing all aspects of academic quality assurance. The Vice Chancellor is the Chairman of Senate. Faculty Boards report to Senate.

Council is the chief executive and financial body of the University. It has responsibility for the strategic direction of the institution, approval of major developments and the receipt of regular reports from executive officers on the day to day operations of the University.

Court is the supreme constitutional body of the University. It offers a means whereby the wider interests served by the University can be associated with the institution and provides a public forum where members of Court can raise any matters about the University. Court normally meets once each year to receive the annual report and financial statements. Major changes to the constitution of the University require Court's approval.

A majority of the members of Court are from outside the University, representing designated bodies with an interest in the work of the University, including the local community. Court also includes many members and former members of University staff. All members of Senate are ex-officio members of Court, as are the Emeritus Professors of the University.

Executive decisions are taken by the University Executive Group, which comprises the Vice Chancellor, the four Pro Vice Chancellors, the Registrar and the Director of Finance. The Senior Management Team is as for the University Executive Group with the addition of the four Deans of Faculty.

Academic Management

There are four Pro Vice Chancellors and four Deans of Faculty who all report directly to the Vice Chancellor. There are fourteen Heads of School who all report directly to the Vice Chancellor. The University Management Group comprises the Vice Chancellor, the Registrar the Pro Vice Chancellors, the Deans of Faculty, the Associate Deans, the Directors of Research Institutes, the Heads of School and the Directors of the major support services.

Academic Managers hold fixed terms of office as follows:

Vice Chancellor	Normally 7 years.
Pro Vice Chancellor	2 years plus, normally, a further 2 years.
Dean of Faculty	4 years.
Associate Dean	4 years.
Head of School	4 years.

Consecutive terms of office are not allowed.

Split of Activities

Teaching 70.2%

Research 21.6%

Enterprise 8.2%

Size of the Case Study Faculty

The case study Faculty has 260 academic staff, 112 support staff and 4,976 students.

History of the Case Study Faculty

The Faculty was formed in 1999 after a major academic reorganisation of the University.

Structure of the Case Study Faculty

The Faculty is made up of three schools.

Governance of the Case Study Faculty

The governing body of the Faculty is the Faculty Board. This comprises the Dean, the three Associate Deans (one each for Teaching, Research and Academic Enterprise), the three Heads of School, elected academic staff representatives from each school and student representatives. Executive decisions are made by the Faculty Executive. This comprises the Dean, the three Associate Deans, the three Heads of School, the Faculty Administrator and the Faculty Accountant.

Academic Management in the Case Study Faculty

The three Associate Deans and the three Heads of School report to the Dean of Faculty. The Academic Management of the Schools mirrors that of the Faculty with a School Board and a School Executive. The School Executive comprises the Head of School, three Associate Heads, the School Administrator and the School Finance Officer.

Split of Activities in the Case Study Faculty

Teaching 82.6%

Research 11.5%

Enterprise 5.9%

6.4.2 Case Study 'D' Interview and Document Analysis

Appendix 13 is the analysis matrix for case study 'D'. The patterns emerging from the analysis matrix are summarised here. Appendix 14 is the list of documents from Case study 'D' that are referred to in Appendix 13. These documents are contained in the case study database for case 'D'.

INITIAL DECISION

The EFQM Excellence Model was first considered in the summer of 2000. The Faculty was approached by a Centre within the University that had expertise in using the EFQM Excellence Model with a view to them getting involved in the HEFCE funded project. No alternatives were considered. The decision to use the EFQM model was taken in July 2000 by the Faculty Executive.

The Faculty Executive were generally happy to support the Dean, however it was seen as a "Fait Accompli", the HEFCE project had already been committed to as one of the University's Pro Vice Chancellors had agreed with the expert centre mentioned above to be involved in the HEFCE funded project.

There wasn't a single shared motive for using the EFQM Model. There were a number of stated motives:

"To get ourselves sorted out". To get commonality, as there were 3 schools with different cultures and also some specific quality problems. The Faculty had been told that the body that would make the decision on the award of a major teaching contract would be using the EFQM Model to review the contract. The Faculty was being monitored on quality by both internal and external agencies and by different methods. It was felt that it would be better to have one. The Heads of Schools in the Faculty wanted something to help with the development and operationalising of strategy. To improve the Faculty's image with external agencies.

The intended uses of the EFQM Excellence Model were:
Self-assessment framework to aid improvement. Strategic Tool (integrating the outputs of the self-assessment into the business planning process). To motivate staff to get involved in quality improvement activities. Benchmarking tool (to a small extent).

The expected benefits of using the EFQM Model were:
To look at things in a broader manner than in the past. To help decide and deliver on key outcomes. To improve quality. To focus more clearly on customers. To review the appropriateness of systems. To provide information for the allocation of resources. "To be able to measure ourselves more effectively". However the project manager thought that the Faculty "didn't know what they were going into".

The expected timescales in which the benefits would be accrued were between 2 and 4 years.

GAINING SENIOR MANAGEMENT COMMITMENT

The following actions were taken to gain senior management commitment:
A presentation was made to the Faculty Executive setting out the expectations and requirements. The Dean thought that *"We will all need to make time for this"*. The project manager met and discussed the EFQM Model with the Heads of Schools and School Executives. The project manager met and discussed the EFQM Model with the Faculty Executive and on a one-to-one basis with some individuals from the Faculty Executive to clarify issues. Away days were used to explain the benefits and shortcomings of the EFQM Model to the Faculty Executive. Members of the school management committees attended two one-day workshops on 16 and 17 July 2001. Mostly these actions took place within the first 6 months of the project and the final actions were in July 2001. The project manager, the Dean and the experts from the expert centre were involved in these sessions. The perceived level of senior management commitment at the start of the project was:
Mean = 5.4
Range 4.5 to 6
(1 = None, 7 = Full)
A high level of senior management commitment to the EFQM implementation was gained

PREPARATION

Were any change models considered for use during the implementation? (e.g. force field analysis).
No change models were considered for use in the implementation.

Were the motive and objectives in using the EFQM Excellence Model communicated to staff?

The motive and objectives in using the EFQM Excellence Model were communicated to staff. In September/October 2000 an email was sent to all staff in the Faculty by the Project Manager. The project manager made a one hour presentation to each of the 3 school executives and made presentations to staff in the sub-units of her own school.

Culture/Context

Was there an attempt to assess the organisational culture?

There was no collective attempt to assess the organisational culture, however the Dean and the project manager discussed some cultural/contextual issues within the first 6 months. (Only the Dean recalled this at this point in the interview, however the project manager recalled some of the detailed issues that came up next in the interview). The Dean and the project manager discussed the following cultural/contextual issues within the first 6 months:

The perceptions of the Faculty Office staff. The cultures of the 3 schools and the types of leadership in them. The possibility of the schools choosing to use the EFQM Model in different ways to suit their own needs. This helped the project manager to better understand the cultures of the 3 schools.

The Dean and the project manager took the management style into consideration in their preparation. The issue that was considered was that each of the 3 schools had different management styles. A choice was therefore made not to be prescriptive in how each school would use the EFQM Model. The interviewees' perceptions of management style was:

Mean = 4

Range 2 to 5.5

(1 = Collegial, 7 = Managerial)

There was a very wide range of views on the management style in the Faculty from collegial to managerial. One interviewee thought that there was a tendency to be more collegial within Faculty and School Executive meetings.

Three of the interviewees considered the issue of the individualism of academic staff. The project manager felt that the culture of the Faculty was one in which teamwork prevailed. The interviewees' perceptions of academic staff individualism was:

Mean = 4.75

Range 4 to 5.5

(1 = Individual, 7 = Teamworking)

There was close agreement that the staff were more team orientated than individualistic.

The project manager and the Dean considered the issue of the professional nature of academic staff. The issues considered were:

Staff were used to quality models within the public sector that they engaged with and therefore would be accepting of the EFQM Model. Staff see their professional responsibility to their discipline/vocational background, but some consideration of themselves as HE staff was starting to emerge. The interviewees' perceptions of the professional nature of academic staff was:

Mean = 6.5

Range 6 to 7

(1 = Low, 7 = High)

It was felt that staff see themselves as professionals to a high extent.

The issue of academic freedom/criticality was considered. This issue provided differing views. One interviewee thought that the questioning nature of academics might help with self-assessment but another thought that staff were bound to critique and analyse the EFQM Model and this probably would be in a negative way (this actually happened and some amendments were made as a result). As a result the Dean thought that the Faculty Executive needed to be ready to give a positive spin. The interviewees' perceptions of how much academic freedom and criticality was exercised by academic staff was:

Mean = 4.5

Range 3 to 5

(1 = Low, 7 = High)

The academic staff were mainly seen as exercising a reasonable amount of academic freedom and criticality.

Recognition/rewards for involvement in EFQM implementation were not considered.

Funding for staff time was considered but not given.

The language/terminology used in the EFQM Excellence Model was tailored to suit the culture/context. It was felt that some language and concepts in the EFQM Model (e.g. RADAR Logic, Enablers) might be difficult to communicate. A decision was made to stick with the terminology, but to use HE examples to help explain the concepts. Examples that reflected the HE environment and live situations were included in workshops. Early workshops had been run by the expert centre and had been seen as too generic.

The issue of the Faculty culture of support was considered. There was some apprehension. "Will people support it?" The Dean realised that the Faculty Executive had to be seen to be committed. The interviewees' perceptions of the culture of support in the Faculty was:

Mean = 5.4

Range 5 to 5.5

(1 = Blame/Fear or Unsupportive/Uncooperative, 7 = Supportive/Cooperative)
There was a strongly shared view that the culture in the Faculty was supportive. One interviewee thought that there were some pockets of blame/fear.

Issues specific to the use of the EFQM Excellence Model

The approach to self-assessment that was chosen was a hybrid approach of workshop and pro-forma. This approach was chosen because the Faculty had been told to use it by the expert centre and it had been included in the HEFCE project specification. The decision was taken not to use scoring. The reasons for not using scoring were:
Not using scoring was part of the process recommended by the expert centre. Staff would loathe being marked. There was a culture of "marking". The Faculty didn't want to start competition. It was felt that the Faculty didn't have enough data to measure properly. Concerns about the "league table effect". It was felt that they weren't sufficiently sophisticated to score.
The issue of whether to amend the criterion weightings given in the model wasn't considered.
It was decided to use RADAR logic in the implementation. Its use wasn't planned in the early days because of a lack of understanding. It "emerged" later as a planning tool. The project manager had suggested its use and the HEFCE project group had recommended it to her. The reason for this was that it would provide a methodology for looking at things. It would be used to review and evaluate the business plan and to inform the next year's business plan.

Demonstrating Senior Management Commitment

The following actions were planned in order to demonstrate senior management commitment to the implementation:
It was decided not to leave everything to the project manager. The Dean and the Heads of Schools would support the workshops. On reflection the Dean thought that the Associate Deans and the Faculty Administrator were not as "high profile" as they might have been. All the members of the Faculty Executive (bar one) committed their time to be interviewed by the project manager as part of the first self-assessment. In July 2001 the Faculty Executive committed to carrying out 6 monthly self-assessments. The reasons for these approaches were to get the Heads of Schools involved as it was felt that commitment had to be shown.

Project Management

The Dean thought that a steering committee had been set up and the documentation indicated that there was an intention to set one up. The project manager corroborated this. There was an attempt to set one up, but it didn't meet. The project manager saw this as a weakness. Examples from other members of the HEFCE project consortium had demonstrated the value of a steering group to her. There was also some confusion about who was running the HEFCE project within the expert centre. A project manager was appointed in July 2000 who was an Associate Head

from one of the schools in the Faculty. The project manager had a little insight into the EFQM Model from work in one of the public sectors and some superficial information on it. The project manager had been involved in many quality projects within her own school but had no experience of large, funded projects. The Dean said that the project manager was very keen to get involved. The project manager received the following training:
3-4 day EFQM self-assessment training September 2000. PRINCE 2 project management methodology training in December 2000. Training in the expert centre's implementation approach, about March 2001.

There was an outline project plan in the Faculty. It appeared that the expert centre also had a project plan but the project manager didn't see the expert centre's project plan until the project had been underway for about 6 months. The views on the planned pace of implementation were varied, from slow to relatively quick. The implementation was fitted in around the business planning cycle. The project manager stated that the project plan had been constructed by the expert centre. The other three interviewees thought that the project manager had constructed it. The project manager reworked it about 12-18 months into the project.

The implementation was Faculty-wide (all 3 schools) but didn't include the Faculty Office to start with. The reasons for the Faculty-wide implementation were:
"It just seemed logical". It seemed to be the right thing to do. The Faculty was cohesive and compliant. The Faculty was used to carrying out Faculty-wide initiatives. It provided everyone with a chance to be involved. A pilot would have limited the sharing of good practice.

There were some initiatives and projects taking place at the same time as the EFQM implementation. One of the interviewees didn't think there was anything major and another thought that there weren't too many competing projects.

Progress of the project was monitored by the project manager reporting to the Dean about every 2 months. It was sometimes discussed at the Faculty Executive. The project manager reported to the HEFCE consortium about every 3 months and met with another project manager from another Faculty in the same university and the programme manager from the expert centre on a monthly basis. The project manager attended "sharing the learning" meetings in the expert centre about every 3 months.

The resources which were allocated to the project were:
A half-time project manager for the period July/September 2000 to May 2003. Some staff got workload relief in the schools, for others the time spent on self-assessments was a substitute for

other management activities. Some of the School Executive members' time when the self-assessments were being conducted.

Education and Training

Several education and training activities were planned to be carried out to support the implementation:

A presentation to Faculty Executive. A presentation to Faculty Staff. The Faculty Executive were to attend the EFQM study days on 20/21 March 2001. Two full day workshops were planned for 16 and 17 July 2001. A self-assessment workshop with the Faculty Office staff planned for 4 October 2002. It was planned not to carry out assessor training for staff.

The reasons for the planned training were:

To explain the use of the model and raise awareness. The project manager was to be the main knowledge base. Assessor training was seen as "too traumatic".

Most of the training took place within the first 12 months of the project. Initial sessions were run by staff from the expert centre with subsequent ones run by the project manager. An internal consultant from the expert centre and the project manager for the HEFCE funded project were used. The reasons for using these consultants were:

The expert centre had acquired the project initially and were expected to be involved. To get some expert support at the start. The HEFCE project manager was a free resource and this was a way of gaining from the experiences of the other HEIs.

Communication

There didn't appear to have been a communications plan, although various means of communication were employed such as email, meetings and word of mouth. The communication didn't really go much below the members of the school executives. The main reason for this approach to communication was that Heads of School were seen to be best-placed to know about the politics and practicalities of getting support within the schools so communication was left to them. This was to be supported by the project manager. There was no real plan for when the communication would take place.

Planned involvement in the implementation process and use of the EFQM Excellence Model

It was planned to involve the Faculty Executive, the Project Manager and a link person from each of the three schools in the Faculty. The Dean's and Project Manager's expectations were:

The schools' SMTs and a broad spectrum of staff in each school. The involvement was planned in this way because the advice from the expert centre was to go top-down to get commitment. The main mechanism for involvement was self-assessment workshops. The use of teams was

considered. Teams were seen as the best way to focus on the seven key result areas that the Faculty Executive had decided on. The teams would help to get ownership by more people not just the Head of School. The 3 schools each set up a team but the Faculty Office didn't. The school teams assisted the Heads of Schools in developing and evaluating business plans and the annual review of taught programmes. The self-assessments were done differently in the 3 schools:

One school Head didn't have a team, but used the EFQM Model to restructure the school. One school used the SMT of the school. One school used staff from outside the school's SMT to carry out the self-assessments.

MOMENTUM

Improvement Planning, Action and Review after self-assessment

Improvement Planning, Action and Review after self-assessment was carried out in November 2001, May 2002 and November 2002. This took place by the Dean, 3 Associate Deans and the Faculty Administrator meeting with teams of three from each school. The Project Manager took notes of the agreed actions. The school action plans were based on objectives from an initial evaluation. The Faculty Office produced action plans. Two-hour sessions made up of a presentation to the Faculty Office from the school and the discussion and agreement of actions for the next 6 months took place. It was done in this way as this approach was outlined by the expert centre. This ensured that the improvement actions fitted with the Key Performance Indicators. It seemed sensible to the Dean to talk around the table as it was a "touchy, feely" Faculty.

This approach was seen to have helped the Faculty Office and the schools to learn about each other. The emphasis was on some quick wins so that changes were seen to be happening and some bigger projects which focussed on the University's agreed objectives. The emphasis was different for each school.

Did the implementation progress on schedule?

The implementation progressed on schedule although one interviewee thought that the Faculty Office had to be "pushed" to use the model, i.e. to conduct self-assessment on itself. Progress with the implementation was communicated by circulating the project web site to Faculty academic staff in February 2001. The project manager presumed that the action plans were shared with staff in the schools by the school executives.

Were the expected benefits of using the Excellence Model achieved?

The expected benefits of using the Excellence Model were achieved. The Faculty know a lot more about each other by using the EFQM Model. The Faculty is results driven, but now there

is more focus on enablers too. The model was growing in value to one interviewee's school. It was being used in all 7 sub-units. The Directors of the sub-units were starting to involve some other staff in the process. In addition there were some unexpected benefits. The school executives stopped to think about objectives and improvements. The dialogue between the Faculty and school executives resulted in better understanding. Issues raised by schools from self-assessment were reinforced at Faculty level. It was an aid to business planning.

The major barriers to achieving the benefits were:
The Faculty Office didn't carry out their actions after the self-assessments and this annoyed the schools. The project manager chose not to "interfere" too much in the schools and Faculty team. This was because they needed to become self-sufficient. However the Faculty team didn't always carry out the action plans.

Do you think the pace of implementation was: too slow, too quick, about right?
Overall the pace of implementation was seen as being about right. The project manager thought that the pace was too quick to start with because enough time hadn't been allowed for education and training, but the pace was about right for the implementation of self-assessment. As the self-assessments were fitted into an annual cycle, it was not realistic for it to have happened more quickly. The approach used enabled people to come on board at their own pace. There had been an assumption that staff had prior knowledge of the EFQM Model and so the education and training needs had been underestimated according to the project manager.

Was senior management commitment maintained throughout the implementation?
Overall it was felt that senior management commitment had been maintained throughout the implementation. One interviewee thought that senior management commitment was waning in the Faculty Executive towards the end. The fact that the Faculty Office didn't self-assess in the first round and didn't share their self-assessments with the schools in the 2nd round meant that one interviewee doubted the senior management commitment. Senior management commitment was demonstrated during the implementation by:
The Dean was present at all but one of the school review meetings. The Dean provided support to the Project Manager. The Dean spoke about the project with each Head of School. The Faculty "kept at it" despite a lack of support and understanding from the rest of the University (except for one Pro Vice Chancellor). The Faculty Office reviewed the School self-assessments. The School Executives produced self-assessment documents.

The following helped to maintain senior management commitment:
The Faculty Executive had agreed to the project and felt loyal to it. The personality of the Dean.

The Faculty was committed to the 3 year HEFCE funded project. Some use of "the stick". The formal report to the Dean (Faculty Office). Some use of "the carrot". The schools were getting value from using it. The Faculty Executive all believed it was a good thing to do.

The only issue that affected senior management commitment negatively was the fact that the Faculty Office didn't self-assess at first and didn't deliver on their action plan elements from the first set of school self-assessments.

There had only been very minor changes in the senior management during the implementation. The Dean thought that this degree of consistency in the membership of the Faculty Executive had helped. One Associate Dean had changed in the very early part of the implementation. Otherwise the Faculty Executive had been a very stable group. The interviewees' perceptions of the extent to which senior management commitment was demonstrated during the course of the implementation was:
Mean = 5.25
Range 5 to 6
(1 = None, 7 = Full)
There was a consistent view that senior management commitment had been maintained to quite a high extent during the implementation. The project manager thought that senior management "stuck with it".

Was the planned level of resources maintained during the implementation?
The planned level of resources was maintained throughout the implementation. There were some concerns that the level of resources was not sufficient. The project manager had difficulties in managing her overall workload. The Dean thought that some clerical support for the Project Manager would have helped. The senior Faculty Administrator felt that not enough resource was provided in the schools because of competing priorities.

Was the planned staff training carried out?
The planned staff training had been carried out. The project manager felt that there should have been some "consolidation" training in year 3. The training had the effect of helping staff think more inclusively and holistically. The commitment of the project manager enthused the staff, and the EFQM Model was sold well. One interviewee was concerned that there was a lack of widespread awareness of the EFQM Model in the Faculty. The project manager thought that the gap between when the training took place and the involvement of staff was sometimes too large.

Was there any recognition of or rewards for staff involved in EFQM implementation?
There was no recognition of or rewards for staff involved in EFQM implementation.

INTEGRATION

How many organisational levels was the EFQM Excellence Model implemented in?

The EFQM Model was implemented in 2 organisational levels generally, the Faculty and the schools, and in the sub-units (a third level) in one school.

How was RADAR logic used in the implementation?

RADAR Logic was used in a number of ways in the implementation:
As a planning tool, e.g. for the use of teaching rooms. As a way of thinking about constantly reviewing what staff were doing. It was used as the basis for the self-assessment report.

Was the planned level of staff involvement with the EFQM Excellence Model achieved?

The planned level of staff involvement with the EFQM Excellence Model had been achieved, but involvement was patchy with more involvement in some schools than others. The plan was to involve School Executives and this had been achieved. There hadn't been much involvement of staff beyond this. There had been problems caused by the use of "champions" in one school. This had resulted in the School Executive not being fully involved in the self-assessment.

How many rounds of self-assessment have been carried out and when?

Three rounds of self-assessment were carried out in November 2001, May 2002 and November 2002.

Which of the following has the model actually been used for and how often?

The EFQM Model has actually been used for:
Self-assessment (3). Strategic tool, for business planning (2). Performance Management tool (to develop key performance indicators). To provide a holistic, broader view of the business. To motivate staff to get involved in quality improvement activities (to a small extent). As a means of integrating other quality and management initiatives and tools (has fed into school review and institutional audit). Benchmarking tool (sharing of internal good practice). The EFQM Model was used to restructure one school, which now has more of a strategic focus. The EFQM Model was used in a contract bidding process, as it had been specified by the customer.

Was the EFQM Model aligned with other organisational systems?

The EFQM Model was aligned with other organisational systems. It had been linked to Internal Quality Reviews and Institutional Audit but wasn't fully aligned with these. One teaching contract review was based on the EFQM Model. The November 2001 self-assessment was linked to an external review in January 2002. EFQM became integrated into the cycle. The performance reviews of the Heads of School and the Associate Deans were linked with the

EFQM Model. The EFQM model was used in strategic planning. There was a link with the annual monitoring of taught programmes.

GENERAL

Has anything else that we haven't already discussed helped in the EFQM implementation?

Other factors that helped in the EFQM implementation were:

The culture of the Faculty valued systems for quality. The project manager was the "right person". There was some existing understanding of the EFQM Model in the Faculty. One school already had Investors in People. The acceptance that the University didn't already have an "overarching" model for quality. There was no "pressure" to use the model from the outside funders. The drive to use the model was an internal one.

Has anything else that we haven't already discussed hindered the EFQM implementation?

Other factors that hindered the EFQM implementation were:

The EFQM Model was not embraced by the University as a whole. This made it difficult to influence university-wide processes. Some staff viewed it as a "five minute wonder" because the university as a whole was not committed to it. The lack of external pressures to use the EFQM Model. The Faculty Office should have self-assessed from the start. Each school "doing their own thing". People asking "why do we need to do this?" The EFQM Model is not yet fully integrated on a day to day basis (view of the Dean).

How were these hindrances overcome?

These hindrances were overcome by:

Drive from within the Faculty. The Faculty tried to influence the University where possible. Improvements were demonstrated to the University's SMT, e.g. business planning. By focussing on the benefits gained:

A better focus to what the faculty is trying to do. It helped to pull the Faculty together. The model's concepts had started to be integrated into people's thinking. A focus on Key Performance Indicators had been used to drive enablers. The Faculty was still committed to using the EFQM Model.

How would you assess your level of EFQM implementation?

The level of EFQM implementation was seen as being about half way into the maturing level. The project manager felt the Faculty were "experienced, but there was a lot of work to do". The Dean thought that the Faculty would still use the EFQM Model now that the 3-year HEFCE funded project had finished, although the view of the new Dean (in 12 months) would need to be considered. The Faculty Executive had not yet taken a firm decision to continue its use.

6.4.3 Case Study 'D' Time-Series Analysis

DATE	ACTION	PHASE OR ELEMENT OF THE THEORETICAL FRAMEWORK
Summer of 2000	The EFQM Excellence Model was first considered.	• Decision Phase • Motive • Alternatives considered, support for the decision
July 2000	The decision to use the EFQM model was taken.	• Decision Phase • Motive • Alternatives considered, support for the decision • Intended uses of the EFQM Model
July 2000	The project manager was appointed.	• Preparation Phase • Planning • Project Management
21 September 2000	"EFQM Assessor Training Certificate" indicated that the project manager was trained.	• Implementation and Evaluation Phase • Momentum • Education and Training
September/October 2000	An email was sent to all staff in the Faculty by the Project Manager. The motive and objectives in using the EFQM Excellence Model were communicated to staff.	• Implementation and Evaluation Phase • Momentum • Communication
September 2000 to February 2001	The Dean and the project manager discussed some cultural/contextual issues within the first 6 months.	• Preparation Phase • Planning • Culture/Context assessment
3 October 2000	"Meeting notes Dean and Project Manager" indicated that the intention was to use the EFQM Model for self-assessment and to look at how the outputs from self-assessment could be integrated into the business planning process. "Meeting note Dean and Project Manager" also indicated planned self-assessments for April 2001, October 2001 and April 2002. It was planned to involve the Faculty Executive, the Project Manager and a link person from each of the three schools in the Faculty.	• Preparation Phase • Planning • EFQM Model specific choices • Project Management • Staff Involvement and Teamwork
2 November 2000	"Presentation to Faculty Executive" is the content of a presentation to improve knowledge of the EFQM Excellence Model, which was made to the Faculty Executive. The plan for the scheduled self-assessments was shared with the Faculty Executive.	• Implementation and Evaluation Phase • Momentum • Education and Training • Preparation Phase • Gaining senior management commitment • Planning • Project Management

17 November 2000 until 18 January 2001	"Schedule for Project Manager interviews with Faculty Executive members" (undated) showed the interviews scheduled.	• Preparation Phase • Planning • Project Management • Demonstrating senior management commitment
December 2000	"Update meeting notes-Dean and project manager" 26/2/01 showed that the project manager had undergone PRINCE 2 project management methodology training.	• Preparation Phase • Planning • Project Management • Education and Training
26 February 2001	"Update meeting notes-Dean and Project Manager" showed that the project manager planned to speak to each school management team in March/April 2001 and indicated that the Director of the Expert Centre was to set up a project steering group. A discussion on the project's progress took place. There was a plan to invite the Faculty Executive to the EFQM study days on 20/21 March 2001. The notes record that the project web site was circulated to Faculty academic staff in February 2001.	• Preparation Phase • Planning • Communication • Project Management • Education and Training • Staff Involvement and Teamwork
20/21 March 2001	The Faculty Executive attended the EFQM study days.	• Implementation and Evaluation Phase • Momentum • Education and Training • Demonstrating senior management commitment
1 May 2001	"EFQM Workshop invitation" invited members of the school management committees to two one day workshops on 16 and 17 July 2001.	• Preparation Phase • Planning • Education and Training
16 and 17 July 2001.	Two full day workshops were run.	• Implementation and Evaluation Phase • Momentum • Education and Training • Demonstrating senior management commitment
July 2001	The Faculty Executive committed to carrying out 6 monthly self-assessments.	• Preparation Phase • Planning • EFQM Model specific choices • Demonstrating senior management commitment
November 2001	Self-assessment was carried out.	• Implementation and Evaluation Phase • Integration • Actual uses of the EFQM Model • Demonstrating senior management commitment

November 2001	Improvement Planning, Action and Review after self-assessment was carried out.	• Implementation and Evaluation Phase • Momentum • Improvement Planning, Action and Review • Demonstrating senior management commitment
January 2002	The November 2001 self-assessment was linked to an external review in one school.	• Implementation and Evaluation Phase • Integration • Alignment with other organisational systems
May 2002	Self-assessment was carried out.	• Implementation and Evaluation Phase • Integration • Actual uses of the EFQM Model • Demonstrating senior management commitment
May 2002	Improvement Planning, Action and Review after self-assessment was carried out.	• Implementation and Evaluation Phase • Momentum • Improvement Planning, Action and Review • Demonstrating senior management commitment
3 July 2002	"School Management Team Strategic Planning Morning" is the agenda for a meeting in one of the schools in which the outcomes of the EFQM self-assessment were being fed into business planning.	• Implementation and Evaluation Phase • Integration • Actual uses of the EFQM Model, particularly its use in strategic planning • Multi-level use in the organisation • Staff Involvement and Teamwork
19 September 2002	"Project Board Meeting" is the notes of the meeting in which progress was checked.	• Implementation and Evaluation Phase • Momentum • Project Management
4 October 2002	A self-assessment workshop was run with the Faculty Office staff.	• Implementation and Evaluation Phase • Integration • Actual uses of the EFQM Model • Demonstrating senior management commitment
November 2002	Self-assessment was carried out.	• Implementation and Evaluation Phase • Integration • Actual uses of the EFQM Model • Demonstrating senior management commitment

November 2002.	Improvement Planning, Action and Review after self-assessment was carried out.	• Implementation and Evaluation Phase • Momentum • Improvement Planning, Action and Review • Demonstrating senior management commitment
25 November 2002	"Project Board Meeting" is the notes of the meeting in which progress was checked.	• Implementation and Evaluation Phase • Momentum • Project Management

Table 6.4: Case Study 'D' Time-Series Analysis

6.4.4 Case Study 'D' Program Logic - comparison with Theoretical Framework

Decision Phase

Motive

A range of motives was expressed which were mainly internal.

- **Objectives and Expected Benefits**

  A number of objectives and expected benefits were expressed.

- **Alternatives considered, support for the decision**

  No alternatives were considered and the decision to use the EFQM Model was supported by the Faculty Executive.

- **Intended uses of the EFQM Model**

  The main intended uses were as a self-assessment framework to aid improvement and as a strategic tool. It was intended to integrate the outputs of the self-assessment into the business planning process. In addition it was intended to use the EFQM Model to motivate staff to get involved in quality improvement activities and, to a small extent as a Benchmarking tool.

- **Pace**

  The decision phase proceeded quickly. It happened between early summer of 2000 and September 2000. The expected timescale in which the benefits would be accrued was 2-4 years.

Preparation Phase

Gaining Senior Management Commitment

Many activities took place to gain senior management commitment. The perceived level of senior management commitment at the start of the project was high at 5.4 out of 7.

Pace

The actions that were taken to gain senior management commitment happened between September 2000 and January 2001. Thus the first element of the preparation phase occurred quickly.

Planning

- **Resistance to Change**

  No change models were considered for use in the implementation.

- **Culture/Context assessment**

  The Dean and the project manager discussed some cultural/contextual issues in the planning element of the preparation phase.

  Management style was considered in the planning element of the preparation phase. There was a wide range of perceptions of the management styles in the Faculty.

  The individualism of academic staff was considered in the planning element of the preparation phase. The perception was that the staff were mainly team-centred.

  The professional nature of academic staff was taken into consideration in the preparation. The perception was that the academic staff saw themselves as professionals.

  Academic freedom and the critical nature of academic staff were taken into consideration in the preparation. The perception was that academic staff exercised a reasonable amount of academic freedom and criticality.

  Recognition/rewards for involvement in EFQM implementation were not considered.

  The language and terminology in the EFQM Model was tailored to suit the culture/context.

  The issue of the Faculty culture of support was considered. The Dean realised that the Faculty Executive had to be seen to be committed. There was a strongly shared view that the culture in the Faculty was supportive.

EFQM Model specific choices

The approach to self-assessment that was chosen was a hybrid approach of workshop and pro-forma. A decision was made not to use scoring. It was decided to use RADAR Logic in the implementation.

- **Demonstrating Senior Management Commitment**

Many actions were planned in order to demonstrate senior management commitment to the implementation.

- **Project Management**

  The steering and monitoring function was planned to be carried out by a steering group. A project manager was appointed. An internal project consultant was used. There was an outline project plan for the implementation and resources were allocated to the project. The implementation wasn't piloted. There were some other initiatives/projects taking place at the same time as the EFQM implementation but nothing major.

- **Education and Training**

  Several education and training activities were planned to be carried out to support the implementation. The internal consultant was used for some of this.

- **Communication**

  There was no communications plan.

- **Staff Involvement and Teamwork**

  The involvement of staff in teams was planned with an emphasis on involving senior staff in the schools.

- **Pace**

  The planning element of the preparation phase was carried out quickly within the first three months of the project.

Implementation and Evaluation Phase

- **Pace**

  The implementation actions began within 2 months of the preparation phase being completed.

Integration

Four different approaches were used to integrate the EFQM Model.

- **Multi-level use in the organisation**

  The EFQM Model was used in two levels and a third level in one school.

- **Alignment with other organisational systems**

  The EFQM Model was aligned with five other organisational systems.

- **Actual uses of the EFQM Model, particularly its use in strategic planning**

  The EFQM Model had been used 3 times for self-assessment, twice as a strategic tool and also for a number of other uses.

- **Staff Involvement and Teamwork**

  The planned level of staff involvement was mainly achieved. About 6% of the Faculty's staff were involved with the use of the EFQM Model. Only senior staff were planned to be involved.

- **Pace**

  The initial use of the EFQM Model happened within the first 3 months of the start of the project. The integration element of the implementation and evaluation phase started quickly. Thereafter the integrative activities occurred at regular intervals over the three years of the project.

Momentum

Five approaches were utilised to provide momentum to the implementation.

- **Project Management**

  The project manager was in post for the whole of the 3-year period of the project. Some progress monitoring took place at the Faculty level. An activities plan was in place for the project and was followed. The resources allocated to the project were maintained throughout the project. The internal project consultant was used in the first year of the project.

- **Demonstrating Senior Management Commitment**

  Senior management commitment was demonstrated during the implementation in a number of ways. The perception was that senior management commitment was demonstrated during the project (5.25 out of 7). This compares with 5.4 out of 7 at the start of the project.

- **Communication**

  Little communication took place to inform staff of progress with the implementation.

- **Education and Training**

  A considerable amount of training took place during the first 12 months of the project.

- **Improvement Planning, Action and Review**

  This started about 14 months into the project and continued over the following 18 months. The review of the improvement actions was linked into the self-assessment and business planning cycle that had been established.

- **Recognition and Rewards**

  There was no recognition of or rewards for staff involved in EFQM implementation.

- **Evaluation of Benefits**

  The expected benefits of using the model were achieved.

- **Pace**

  Many actions had taken place that would be expected to produce momentum in the implementation. The overall view was that the implementation progressed on schedule. The pace of implementation was seen as being about right.

Effectiveness of the Implementation

The view was that the level of implementation was about half way up the maturing level. The author's assessment of the level of implementation from his knowledge of the case was that the level of implementation was slightly ahead of this.

Thus the implementation could be assessed as having been effective. This can be explained by comparing what actually happened with the theoretical framework.

In the decision phase there had been clear internal motives for using the EFQM Model, clear objectives and expected benefits and clear views on the intended uses of the EFQM Model. A high degree of senior management commitment to the project had been gained at the start of the preparation phase.

In the planning element of the preparation phase there was no attempt to assess potential resistance to change, however the project manager and the Dean had attempted to assess the culture/context. There was a strong plan to demonstrate senior management commitment, extensive education and training was planned and there was a clear plan to involve staff. Most of the expected elements of project management were put in place, choices were made relevant to the specifics of using the EFQM Model, but no communications plan was put in place.

In the integration element of the implementation and evaluation phase substantial integration was achieved. The EFQM Model was used three times for self-assessment and was used in strategic planning on two occasions. The model was used in two to three organisational levels and was aligned with other organisational systems. Staff were involved in teams to a limited extent.

In the momentum element of the implementation and evaluation phase, most of the elements that might have produced momentum were addressed. Some project monitoring took place and improvement planning did occur, senior management commitment was demonstrated throughout the project, extensive education and training was carried out and the expected benefits were achieved through using the EFQM Model. On the negative side, little communication took place and recognition and rewards were not used.

6.5 Chapter Summary

The findings of the primary research have been presented in this chapter. The case study background information for each case was presented first followed by the interview and document analysis in which patterns were identified. Events from the case study were placed in chronological order to allow a time-series analysis. Finally the pattern-matched data was combined with the chronological data and then compared with the theoretical framework in a program logic approach. This then has contributed to the achievement of the objective: *To explore and analyse the approaches used in attempted implementation of the EFQM Excellence Model in a number of UK University case studies in order to discover the critical issues for effective implementation.* This analysis and comparison was used to explain the effectiveness of the implementation of the EFQM Excellence Model in each case and thus address the objective: *To explain why the implementation of the EFQM Excellence Model was effective or ineffective in a number of cases in UK University academic units by reference to the theoretical framework* The implementations in cases 'A' and 'B' had been ineffective and comparisons with the theoretical framework offered explanations for these outcomes. The implementation in case 'C' had been somewhat effective and the implementation in case 'D' had been effective. Again, comparisons with the theoretical framework offered explanations for these outcomes.

In the next chapter the findings of the fieldwork will be discussed by making comparisons and contrasts with the literature.

CHAPTER 7

DISCUSSION

7.0 Chapter Introduction

In this chapter the findings of the fieldwork which emerged from the data analysis in the previous chapter will be discussed by making comparisons and contrasts with the literature. The discussion of the findings consists of four main sections. The first section will discuss the four case studies separately. Then the theoretical framework, which was developed from the literature reviews and was used to facilitate the program logic approach to data analysis in the previous chapter, will be used to structure the cross-case discussion of the findings. Thus the objective: *To assess the effectiveness of the implementation of the EFQM Excellence Model in the case study organisations* will be addressed. The theoretical framework will be discussed in light of the case study findings and amendments will be proposed in order to fulfil the general purpose of the study that was described in chapter 1: *To construct a guidance framework for EFQM Excellence Model implementation in UK University academic units.* In the final part of the discussion the conduct of the research and the research methodology will be reviewed. The limitations of the research will be discussed, operational recommendations for the case study organisations will be made, recommendations for further related research will be made and the contributions of the research will be described.

7.1 Discussion of Case Studies

7.1.1 Case 'A'

The University in which this case occurred has a heavy emphasis towards research and enterprise activity with relatively little teaching activity. This emphasis is mirrored in the case study school. This perhaps explained why the involvement with the HEFCE project was viewed as a research project. Unusually for a pre-1992 University, the Heads of School are appointed on a permanent rather than a fixed-term basis and yet the management structures and processes described could be seen as collegial. The school has 131 staff in total, however these staff are located in 16 different buildings across the university's campus. Interestingly, when asked about the school by the author, one of the interviewees replied *"what school?"* Further discussion revealed that the interviewee felt this way because of the geographical dispersion of staff. This physical barrier to staff mixing coupled with the perception of staff being individualistic and the perception that there wasn't a culture of support in the school for voluntary projects such as the implementation of the EFQM Model provided a less than conducive background for the implementation process. The interviewees felt a lack of motivation because they felt that the project wasn't valued. This then concurs with Harvey (1995, p.29) who states:
"In many respects this [Teamwork] *is an alien process for many academics who are not only used to working alone but are valued by their institutions for their individual contribution".*

There was a complete reluctance in this case to even mention that the EFQM Excellence Model was being used and the only person to receive any training was the project manager. There was

very little senior management commitment apparent. Perhaps this was reflected in the fact that this was the only one of the four cases in which the author was not able to interview the most senior academic manager in the unit, i.e. the Head of School or Dean of Faculty. The author got the feeling from spending some time with the project manager that he was a very determined individual who had wanted the project to succeed but he had become worn down by the lack of support from a senior level in the school

In summary, over the 3-year period, very little progress was made in using the EFQM Excellence Model in this case. The author believes it unlikely that the school would consider a second attempt to implement the EFQM Excellence Model, as there does not appear to be any senior management commitment to doing this.

7.1.2 Case 'B'

The University in which this case occurred has an emphasis towards teaching with some research and enterprise activity. The case study Faculty has a slightly higher emphasis on research than the University as a whole. This case occurred in a pre-1992 University, the academic managers (Dean of Faculty, Associate Deans and Heads of School) are appointed on a fixed-term basis and the management structures and processes described could be seen as collegial.

This was the only case in which any research into alternatives to the EFQM Excellence Model was carried out and the requirements of the Faculty Executive for a model for quality improvement were taken into consideration. As such, the objectives in using the EFQM Model were very clear and this contributed to a strong internal motive for using the EFQM Model. The decision to join one of the consortia of universities was actually made outside the Faculty by one of the Pro-Vice-Chancellors.

In this particular case the fixed-term appointments of academic managers caused major difficulties for the implementation. This then reflected the concerns about the effect of fixed-term academic management roles on implementation expressed in the literature (Raanan, 1998; Harvey, 1999; Engelberg, 2000; Aly & Akpovi, 2001; Davies et al, 2001). The extremely high and continual turnover of staff in these academic management roles meant that the initial commitment to using the EFQM Model was lost and meant that the first element of the preparation phase (gaining senior management commitment) had to be revisited on almost a continual basis in a sort of *Groundhog Day* scenario. This became very frustrating for the project manager and meant that the EFQM Model was hardly used at all in this case.

This was also the only case in which it was decided to pilot the implementation in one of the five schools in the Faculty before rolling it out to the other schools. By the time the pilot had been carried out there had been significant changes in the membership of the Faculty Executive as outlined above and thus any learning that had taken place in the pilot was lost. The project manager could not move to implementation in the next school because he had to concentrate on trying to regain senior management commitment and reworking the project plan to reflect the new situation.

In summary, over the 3-year period, the EFQM Excellence Model was hardly used in this case. Although only the project manager received training in the use of the EFQM Model and he has since left the University, there are a number of other staff in the Faculty who, because of their subject expertise and experience, would be capable of carrying out self-assessment. Despite this the author believes it is unlikely that there will be a second attempt to implement the EFQM Excellence Model in this case, as there appears to be insufficient motive in the Faculty Executive to pursue this.

7.1.3 Case 'C'

The case study school had an emphasis on teaching activities but with sizeable amounts of research and enterprise activities. This case occurred in a post-1992 University, the academic managers are appointed on a permanent basis and the management structures and processes described could be seen as tending towards managerial.

This was the only case in which the Vice-Chancellor was actively involved or demonstrated any commitment to the implementation project. Indeed the initial motivation to use the EFQM Excellence Model came from the Vice Chancellor who then went about gaining the commitment of a willing school to use the model. The implementation progressed very well in the first year or so with a considerable amount of training taking place, an initial self-assessment being conducted, the selection of three improvement projects and the setting up of improvement teams. Unfortunately, since then, there has been almost no progress. There appeared to be two main reasons for this; the lack of progress in developing and then implementing recommendations from the improvement groups and the fact that the project manager who was also the Director of the School moved to another role. This left the project with no local senior management champion. It would be interesting to carry out a more detailed investigation into what occurred in the improvement groups as the failure of these to make a significant impact played a role in the overall implementation process losing momentum and eventually stopping. This finding emerged from the author's detailed research into this case and wasn't apparent at the stage at which the author had initial discussions with the project manager in order to select appropriate cases to research. All four interviewees were involved in improvement groups but

only one was not in a management position at the time. Perhaps the views of more non-management academic staff who were involved in the improvement groups would have provided another perspective on why these groups did not produce the expected improvements.

It is not surprising that the lack of progress in the improvement groups led to the loss of momentum of the implementation as a whole. It is these improvement groups which should have provided the main source of benefits, as the intended primary use of the EFQM Model in this case was as a framework for self-assessment and improvement. Why should the organisation continue to use something from which it is not gaining benefits?

In summary, in this case the use of the EFQM Model got off to a good start, however it has only been used for one self-assessment and that was in the early part of 2001. The author believes it would be possible in this case for the implementation to be restarted as the school has a number of trained staff who could carry out self-assessment and the new Director of the School and his Deputy appeared keen to make use of the EFQM Excellence model. The author is also aware that there is supporting expertise available within this University and that the University is now using the EFQM Excellence Model at a corporate level.

7.1.4 Case 'D'

The University in which this case occurred has an emphasis towards teaching with some research and enterprise activity. The case study Faculty has a much higher emphasis on teaching than the University as a whole with very little research activity. This case occurred in a pre-1992 University, however the vast majority of staff in the Faculty joined the University when there was a merger with a HE College in 1996, which might help to explain the low level of research activity and the relatively high tendency towards teamworking. As such, the culture of the Faculty appears to be closer to that of a post-1992 University than a pre-1992 University. The academic managers (Dean of Faculty, Associate Deans and Heads of School) are appointed on a fixed-term basis and the management structures and processes described could be seen as collegial.

In this case the combination of a strong project manager and a project champion (the Dean) provided a strong impetus for the implementation of the EFQM Excellence Model. This case displayed the most effective implementation of the four with three rounds of self-assessment having been carried out and the outputs of the self-assessment having been used twice in the business planning cycle. Almost all of the elements of the theoretical framework had been addressed in the implementation process.

The author thought that a thorough discussion of the cultural and contextual issues in this case might help in shedding some light on the reasons for this effective implementation. Perhaps significantly, the Dean and the project manager in this case discussed some cultural/contextual issues in the planning element of the preparation phase. This appeared to have been done in more detail in this case than in any of the other three and reflected the views in the literature that there was a need to understand the culture of an organisation before proceeding with implementation (Buch & Rivers, 2001; Munro-Faure & Munro-Faure, 1994; Anjard, 1995) and that a cultural assessment should take place (Poirier & Tokarz, 1996; Atkinson, 1990; Vermeulen, 1997; Chin & Pun, 2002; Bardoel & Sohal, 1999; Wright et al, 1998).

Management style was considered and it was perceived that there was a wide range of management styles in the Faculty from quite collegial to quite managerial. The management style within the management group (the Faculty Executive) that managed and were most involved in the implementation was considered to be collegial. This then provided some support for the view in the literature that a collegial management style was best-suited to gaining staff involvement (Davies et al, 2001; Harvey, 1999; Srikanthan & Dalrymple, 2002).

The individualism of academic staff was considered and the perception was that the staff were mainly team-centred. Thus some support could be drawn from this case for the view in the literature that a teamworking environment would be more conducive to implementation than an individualistic one (Taylor & Hill, 1992; Oakland, 1999; Mersha, 1997; Krasachol & Tannock, 1999; Van der Wiele et al, 1996).

The professional nature of academic staff was taken into consideration and the perception was that the academic staff saw themselves as professionals. The issue of professionalism was seen as a potential barrier to implementation in the literature (Downey-Harris & Harrington, 2002; Brunetto, 2001; Savolainen, 1999; Silvestro, 2001, Holmes & McElwee, 1995) but this appeared not to have occurred in this case.

Academic freedom and the critical nature of academic staff were taken into consideration and the perception was that academic staff exercised a reasonable amount of academic freedom and criticality. This then appeared not to be a significant barrier in this case as had been suggested in the literature (Ho & Wearn, 1996; Michael et al, 1997; Giertz, 1999; Raanan, 1998). In this case however very few staff from outside the Faculty and School Executives had been involved in the use of the EFQM Model. If the Faculty were to attempt to gain a wider involvement of academic staff in its use then this would be a potential barrier for them to be aware of.

Recognition and rewards for involvement in EFQM implementation were not considered by the Dean and the Project Manager and no forms of recognition and reward were used, yet implementation was effective. This goes against the argument presented in the literature that recognition and rewards are necessary to change the behaviour of staff in the implementation process (Thiagarajan & Zairi, 1997; Mersha, 1997; Poirier & Tokarz, 1996; Koehler & Pankowski, 1996; Thiagaragan et al, 2001). This is a very interesting finding that warrants some more detailed discussion.

Poirier & Tokarz (1996) list recognition and rewards as one of twelve critical TQM factors, but in this case recognition and rewards appear not to have been critical. Perhaps an explanation for this can be found in the fact that the staff involvement in this case was mainly limited to senior managers within the Faculty (mainly the members of the Faculty Executive). It is possible that they perceived their rewards as coming from the overall benefits to the organisation accruing from the use of the EFQM Excellence Model. The benefits were mainly in improved management of the Faculty, e.g. the impact on business planning, so it could be that the use of the EFQM Model was perceived by these managers as having made it easier for them to manage. This in turn might have been perceived as a *reward.* Recognition of a sort may have come through a richer dialogue between the School Executive and the Faculty Executive. The notes of the review meetings show that the Dean particularly was appreciative of the work being put into the use of the EFQM Model by the School Executives. Although the author didn't ask the interviewees for their views on the lack of recognition and rewards, he didn't get any sense of dissatisfaction from the interviewees in this regard. This is perhaps corroborated by the continuing high level of senior management commitment to the use of the EFQM Model at the end of the three-year period. Perhaps the fact that overt rewards were not used was advantageous, particularly the reward of individuals. If this had been attempted it could have undermined the teamworking ethos that was apparent in this case. This view is supported by Mersha (1997), who emphasises that the reward and recognition system should be designed to foster co-operation and teamwork, and Tan (1997), who identified that most organisations find it hard to install TQM because of the reward of individuals rather than teams. A further discussion of the issue of rewards and recognition is included in the cross-case discussion in section 7.2.3.2 on momentum.

The language and terminology in the EFQM Model was tailored to suit the culture/context in this case through the use of context specific examples. This had been suggested as an aid to implementation in the Higher Education sector in the literature (Helms et al, 2001; Martin & Weill, 1999; Taylor & Hill, 1991; McAdam & Welsh, 2000; Pupius, 1998; Zink & Voss, 1998; Owlia & Aspinwall, 1997; Zink & Voss, 1999). In addition, education had been carried out to

help the staff understand the language and terminology used in the EFQM Excellence Model, as had been suggested by Osseo-Asare & Longbottom (2002).

The issue of the Faculty culture of support was considered. The Dean realised that the Faculty Executive had to be seen to be committed. There was a strongly shared view that the culture in the Faculty was supportive and this was at a higher level than in any of the other three cases. This then offers support to the view expressed in the literature that a co-operative and supportive environment would be conducive to effective implementation (Raisbeck, 2001: Moeller & Sonntag, 2001).

From the above it would appear that a culture that would be conducive to the implementation of the EFQM Excellence Model would have a collegial management style, team-centred staff and a co-operative and supportive environment. In addition, the use of language and terminology in education and training which is appropriate to the HE culture appears to be an aid in implementation. This is an issue that would be interesting to research further.

In summary, in this case the use of the EFQM Model has been integrated into the management processes of the organisation and it has been used for three self-assessments. The challenge then is to sustain the use of the EFQM Excellence Model. One of the threats to its continued use is the system of fixed-term appointments for academic managers, which operates in this University. If the new Dean (due in 2004) is not a supporter of its use then this could cause its use to stop, particularly as a relatively low number of staff from outside the management teams have used it. The author is also aware that there is a large reliance on the Project Manager to facilitate the use of the EFQM Model in the Faculty and that this person is now a Head of School. The demands of this job may make it difficult for her to dedicate sufficient time to this facilitation role.

7.2 Cross-Case Discussion

7.2.1 Decision Phase

Motive

This research has highlighted the importance of motive in the decision phase of the implementation. This supports the research of Wells (2001), Ritchie & Dale (2000), Chin & Pun (2002), and Sullivan-Taylor & Wilson (1996). In case 'A' there wasn't a clear or strong motive for using the EFQM Model and this contributed to the ineffective implementation. In contrast, in cases 'C' and 'D' there were shared internal motives for using the EFQM Excellence Model and this contributed to some degree of effectiveness in implementation in case 'C' and a relatively high degree of effectiveness in implementation in case 'D'. In case 'B' there had been a fairly clear internal motive for using the EFQM Model, however the implementation had been

ineffective. A possible explanation for this in this case was that the motive was shared by the Faculty Executive members at the time the decision was made, however there was a significant number of changes in the membership of this decision-making body over a short period of time and it is conceivable that the motive became diluted or lost in this process.

There is debate in the literature about whether internal or external motives provided the best impetus for the implementation. Poirier & Tokarz (1996) argued for external motives whilst Van der Wiele et al (2000) and Chapman (2000) argued for internal motives. This research supports the latter view that internal motives are preferred, as cases 'B', 'C' and 'D' were all driven by internal motives.

Objectives and Expected Benefits

Ryan (1996) and Samuelsson & Nilsson (2002) argued that the objectives of the implementation need to be clear. In case 'A' there appeared to be no shared or clear objectives or expected benefits. This could have contributed to the lack of motive described in the section above. In case 'B' there was no consistent view of the expected benefits of using the EFQM Model and no clear objectives were set for its use. In spite of this, there had been a fairly clear internal motive for using the EFQM Model. In cases 'C' and 'D' a number of objectives and expected benefits were expressed. This could have contributed to the strong internal motives in the two cases described in the section above.

One of the barriers to TQM implementation described in much of the literature is that of short-termism with regards to the expected timescales in which objectives will be met and benefits achieved. There is unanimity in the literature reviewed that an expectation of quick results is one of the factors that results in the failure of TQM implementations (Atkinson, 1990; Munro-Faure & Munro-Faure, 1992; Harvey, 1995; Sullivan-Taylor & Wilson, 1996; Mersha, 1997; McAdam & Welsh, 2000). In all four cases in this research there was a view that objectives would not be met or benefits achieved in the short-term. In case 'A' it was described as a *"long haul"*, in case 'B' the expectation was 3 years, in case 'C' it was 2 to3 years and in case 'D' it was 2 to 4 years. So short-termism was not a barrier in these cases.

Alternatives considered and support for the decision

Of the four cases examined, in only one were alternatives to the EFQM Excellence Model considered (case 'B'). It is not clear from the cases examined whether the consideration of alternatives positively or negatively affected the development of motive. In the three cases in which an initial motive was developed, one considered alternatives whilst the other two did not.

In case 'A' there was no clear support for the decision from the school management team. This is likely to have contributed to the lack of motive described earlier. In case 'B' a qualified decision was made by the Faculty Executive to use the EFQM Model followed by a full decision to use it. This decision would have helped to produce the initial motivation to use the EFQM Model. In case 'C', the decision to use the EFQM Model was supported by the school's senior management team and this decision would have helped to produce the motivation discussed earlier. In case 'D', the decision to use the EFQM Model was supported by the Faculty Executive that would have helped to produce the motive discussed earlier. This early display of senior management commitment to the use of the EFQM Model would appear to be a very important element in producing the necessary motive. Demonstration of senior management commitment will be discussed more fully in later sections of this chapter.

Intended uses of the EFQM Model

In addition to the main use of the EFQM Excellence Model as a means to carry out self-assessment with the aim of identifying strengths and areas for improvement in an organisation, a number of other uses of the model have been identified in the literature. Apart from case 'A' in which the intended use of the EFQM Model wasn't clear, the other three cases clearly intended to use it as a self-assessment framework to aid improvement. There is great debate in the literature on its appropriateness as a strategic tool, although some examples of its use in this way were reviewed in the literature. Only case 'D' of the four cases examined in this research intended to use the EFQM Model as a strategic tool. It was intended to integrate the outputs of the self-assessment into the business planning process. Whether this intention became a reality will be discussed later in this chapter within the implementation and evaluation phase.

There is some evidence in the literature (Gadd, 1995; Leonard & McAdam, 2002a; Chapman, 2000) that the EFQM Excellence Model can be used to provide a holistic, broader overview of the organisation, although none of the four cases had this as a shared, intended use of the model.

It can be seen that, according to the majority of literature reviewed, the EFQM Excellence model provides a framework for performance management in organisations. Again, none of the four cases had this as a shared, intended use of the model. The review of the literature showed that the EFQM Excellence Model can provide a common framework which facilitates benchmarking, provided that the emphasis is on comparing and contrasting strengths and areas for improvement and not on a simplistic comparison of scores. Again, none of the four cases had this as a shared, intended use of the model.

The literature revealed that the EFQM Excellence model could provide a means for both mapping the areas of impact within an organisation of various quality and management

initiatives and tools and selecting initiatives in a proactive way to support the development of areas for improvement. None of the four cases intended to use the EFQM Model in this way.

Few organisations use the EFQM Excellence Model as a means of applying for a quality award and none of the case organisations had intended to apply for a quality award. The EFQM Excellence Model is often used to motivate staff to get involved in quality improvement activities and can be used to reinvigorate improvement initiatives that have started to lose momentum. Case 'D' intended to use the EFQM Model to motivate staff to get involved in quality improvement activities.

So case 'A' had no clear intended uses of the EFQM Model and this is likely to have contributed to the lack of motive in that case. Cases 'B' and 'C' intended to use it as a self-assessment framework to aid improvement and this is likely to have contributed to the initial motives in those cases. Case 'D' had three intended uses of the EFQM Model. This is likely to have contributed to the development of the motive in this case.

Pace in the Decision Phase

The pace at which the decision phase was undertaken varied across the four cases. The fastest pace was demonstrated in case 'D' in which the decision phase took about 3 months. This case also demonstrated the most effective implementation. In case 'A' the decision phase took about 3-4 months, however senior management commitment was not gained and the implementation was relatively ineffective. In case 'C' the decision phase took about 6 months. This case demonstrated the second most effective implementation. In case 'B' the decision phase took over 12 months and the implementation was ineffective.

In the literature Vermeulen (1997) indicated that failure of TQM implementation can occur when the implementation process outpaces acceptance of the change and the understanding of the need and benefits, whilst Vrakking (1995) took the opposite view and argued that the chances of successful implementation increase if the time between generation of the idea and the implementation is kept to a minimum. The evidence from the cases would tend to support Vrakking's view, as the most effective implementations tended to be those in which the decision phase was completed relatively quickly.

7.2.2 Preparation Phase

Gaining Senior Management Commitment

It emerged from the literature review that gaining senior management commitment to implementing the EFQM Excellence Model was clearly a crucial step in the implementation process and one that needed to take place at the outset before involving other employees. There

is much evidence in the literature that failure to secure this senior management commitment leads to failures in implementation. There were examples in the literature that the task of gaining senior management commitment was further complicated in some universities by the issue of fixed-term roles for academic managers. Savolainen (1999) raised a very interesting point in relation to continuous improvement implementation in Finland. If advocates did not exist or support could not be found on the superior management level that was closest to the group implementing the initiative (that is, in the next level up in the management hierarchy), then the efforts tended to be abandoned.

The critical nature of the issue of gaining senior management commitment to implementation of quality programmes (including the EFQM Excellence Model) has been addressed extensively in the literature (Thiagarajan & Zairi, 1997; Spector & Beer, 1994; Hillman, 1994; Helms et al. 2001; Ritchie & Dale, 2000; Cullen & Hollingum, 1987; Savolainen, 1999; Buch & Rivers, 2001; Kumar & Douglas, 2002; Cabinet Office, 2001; Melan, 1998; Charlesworth, 2000; McCarthy et al, 2002). The critical nature of this issue of gaining senior management commitment was borne out by the four cases examined in this research.

In case 'A' senior management commitment wasn't gained and implementation did not move beyond the lower half of the entry level. The main action taken to try to secure the commitment of the School SMT was a presentation by the HEFCE project consultant to the School SMT somewhere between 31 May 2001 and 19 December 2001. The Project had already been running for at least 12 months by the time this happened. The Project Board concluded that the SMT did not, in general, perceive the relevance or potential of the EFQM Model to the school.

In case 'B' senior management commitment was gained initially, but this was not maintained and implementation did not move beyond the lower half of the entry level. A number of actions took place to try to gain senior management commitment. Two presentations to the Faculty Executive (29 March 2000 and 23 October 2000) took place. The presentations to the Faculty Executive were done by a working group, which had been set up by the Faculty Executive to look at quality models. Individual meetings occurred between the Project Manager and both of the Deans who were in post during the timescale of the project. The project manager and the Head of School of the school that had been chosen to pilot the EFQM Model in the Faculty made presentations to 2 out of the 5 School Executives. One presentation took place around January 2001 and one around April 2002. A workshop using RADAR logic with the Dean's Advisory Group took place in September 2002. It is interesting at this point to refer to the views of Spector & Beer (1994) who warned not to confuse top management compliance with top management commitment. In case 'B', the project manager wasn't convinced that senior management commitment had been gained and another of the four interviewees was not sure if

the decision to use the EFQM Model could be described as *"fully supported"*, he preferred to say that there were no objections raised. This could have been an example of confusing commitment with compliance.

In case 'C' a high level of senior management commitment was gained and implementation reached the boundary of the entry level and the maturing level. Three main actions were taken to gain senior management commitment: The Head of School made a presentation to the School's Senior Management Team (SMT). There was a specific one-day training session on 9 November 2000 for the SMT plus the managers of those staff to be included in the diagonal slice. This was run by a consultant from the HEFCE consortium and was designed to increase awareness and understanding. The Vice Chancellor was involved in various training sessions and meetings. These actions took place in the last quarter of 2000 and the early part of 2001.

In case 'D' a high level of senior management commitment was gained and implementation reached around half way into the maturing level. The following actions were taken to gain senior management commitment. A presentation was made to the Faculty Executive setting out the expectations and requirements. The Dean thought that *"We will all need to make time for this"*. The project manager met and discussed the EFQM Model with the Heads of Schools and School Executives. The project manager met and discussed the EFQM Model with the Faculty Executive and on a one-to-one basis with some individuals from the Faculty Executive to clarify issues. Away days were used to explain the benefits and shortcomings of the EFQM Model to the Faculty Executive. Members of the school management committees attended two one-day workshops on 16 and 17 July 2001. Mostly these actions took place within the first 6 months of the project and the final actions were in July 2001. The project manager, the Dean and the experts from the expert centre were involved in these sessions.

Shergold & Reed (1996), Oakland (2000), and Koehler & Pankowski (1996) all emphasised that senior management commitment should be gained in the early phase of the implementation. This emphasis was supported by the evidence from the four cases in this research. In cases 'B', 'C' and 'D' the actions taken to try to gain senior management commitment were all carried out at an early stage in the process and all resulted in some initial commitment to the implementation. In case 'A' however the action to try to gain senior management (a presentation to the school's senior management team) only occurred between 12 and 18 months into the process. Senior management commitment was not gained in this case.

Several researchers (Aly & Akpovi, 2001; Engelberg, 2000; Davies et al 2001; Raanan, 1998) drew attention to the negative impact on the effectiveness of implementation of changes in senior management. This is often manifested in universities through the fixed-term roles of

academic leaders and can impact on senior management commitment. Examples of this were evident in the cases examined in this research. In case 'A' there was almost no senior management commitment, however the Head of Department who had initiated the EFQM project retired about 18 months into the three-year project and this coincided with the time when the small amount of progress that had been achieved ceased. In case 'B' some initial senior management commitment had been gained, however there was a very large number of changes in the senior management group which had made the initial decision. This was due to the policy of having fixed term academic management posts (10 out of the 12 were no longer in post at the end of the 3-year period). This could explain the interviewees' views that the level of senior management commitment that had been demonstrated in case 'B' was very low. In case 'C' a high level of senior management commitment was gained initially, but this had reduced somewhat by the end of the 3-year period. Some of the interviewees linked this to the fact that the project manager, who was also the Director of the School, moved to a different role 2 years into the project. The facts of the case show that there was no activity related to the EFQM Model in the last year of the project. In case 'D' a high level of senior management commitment was gained at the start of the project and this was demonstrated at a high level throughout the project. The senior managers involved in this case remained in post throughout the implementation with one minor exception.

Savolainen's (1999) point about advocates not existing or support not being found on the superior management level that was closest to the group implementing the initiative resulting in the efforts being abandoned, was partly demonstrated in case 'D'. This case produced the most effective implementation of the four cases and yet the issue of lack of senior management commitment to the implementation from levels above the Faculty was clearly a concern with the interviewees, particularly the Dean.

So this research supported the literature in terms of the critical nature of senior management commitment and that it should be gained at an early stage of the process. This research also offered some support to the concern about changes in senior management roles and the negative impact on senior management commitment.

Pace in the gaining Senior Management Commitment element of the Preparation Phase

The pace at which the gaining Senior Management Commitment element of the preparation phase was undertaken varied across the four cases. In case 'C' this was completed within the first 3 months of the project and this implementation was relatively effective. Case 'D' had carried out the actions to gain senior management commitment within the first 4 months and implementation was effective. In case 'B' the initial actions to gain senior management

commitment took place within the first 6 months, however senior management was lost and the project manager attempted to regain senior management about 2 years into the project. Implementation was ineffective in this case. In case 'A' the action which was taken to try to gain senior management commitment only occurred between 12 and 18 months into the project. Implementation in this case was largely ineffective.

The evidence from the cases would therefore tend to support Vrakking's (1995) argument that the chances of successful implementation increase if the time between generation of the idea and the implementation is kept to a minimum, as the most effective implementations tended to be those in which the gaining Senior Management Commitment element of the preparation phase was completed relatively quickly.

Planning

The extent to which planning took place varied in the four cases, both in the detail of the planning and in the emphasis on the various planning elements. The importance of planning was emphasised in that elements that had been planned for tended to occur within the implementation and elements that had not been planned for invariably did not occur in the implementation. This supported the views of Hansson et al (2003) who argued that planning helped to identify obstacles and driving forces.

Resistance to Change

Although there was much emphasis in the literature on the negative effect that resistance to change can have on the implementation of quality programmes (Ryan, 1996; Dale et al, 2000; Tan, 1997; Motwani & Kumar, 1997; Aly & Akpovi, 2001; Owlia & Aspinwall, 1997), in none of the four cases were any change models considered for use in the implementations. However it was clear that, although there had been no explicit use of change models in the cases, some prior thought had often been given to culture/context assessment from which potential sources of resistance to change could be identified. In addition, many of the mechanisms recommended in the literature to reduce resistance to change had been considered in the preparation phase. For example Oakland (1999) listed education and communication, participation and involvement, facilitation and support, and negotiation and agreement as the major methods for overcoming resistance to change. The planning of the use of these methods is discussed in the following sections on education and training, communication, and staff involvement and teamwork.

Culture/Context assessment

In the literature review, several authors emphasised the need for an understanding of the culture of an organisation as being crucial to successfully implementing quality programmes (Chin &

Pun, 2002; Buch & Rivers, 2001; Munro-Faure & Munro-Faure, 1994; Anjard, 1995; Sousa-Poza et al, 2001).

Poirier & Tokarz (1996), Vermeulen (1997), Chin & Pun (2002), Bardoel & Sohal (1999) and Wright et al (1998) discussed carrying out a cultural assessment of an organisation before implementing TQM or similar initiatives, in order to identify potential barriers to change and to help in designing the implementation programme. In cases 'A', 'B' and 'C' there was no attempt to assess the overall culture. In cases 'A' and 'B' implementation was ineffective and in case 'C' implementation was initially effective but use of the EFQM Model was not sustained. In case 'D' however, the Dean and the project manager discussed some cultural/contextual issues as part of their planning for the implementation and the implementation was effective in this case.

There was great debate in the literature about the appropriate management style necessary for the successful implementation of TQM or the EFQM Excellence Model in the UK University context. On the whole it appeared that any approach perceived by academic staff to be managerial in nature was likely to be greeted with scepticism and resistance. There appeared to be support for a collegial approach combined with leadership rather than a managerial approach (Srikanthan & Dalrymple, 2002; Davies et al, 2001). The management style was only taken into consideration in case 'D'. The perceptions of management style in each of the cases was:
Case 'A', managerial, and implementation was ineffective.
Case 'B', collegial, and implementation was ineffective.
Case 'C', quite managerial, and implementation was somewhat effective.
Case 'D', a wide-range of management styles, but with a collegial approach in the Faculty Executive, and implementation was effective.

This suggests that the most appropriate management style for the implementation of the EFQM Excellence Model in UK university academic units is likely to be collegial, however the failure to effectively implement the EFQM Model in case 'A' and 'B' was more likely to be because of causes other than an inappropriate management style and these have been examined elsewhere in this discussion. It is interesting that implementation was somewhat effective in case 'C' and yet this had a management style that was quite managerial. Given the range of issues that have been identified as impacting on the effectiveness of the implementation it seems unlikely then that the management style would be one of the most prominent of these issues.

In the literature review, individualism was seen as a potential barrier to the effective implementation of the EFQM Excellence Model in UK University academic units (Raanan, 1998; Chadwick, 1995; Motwani & Kumar, 1997; Stawicki, 1999; Roffe, 1998; Raisbeck, 2001). Apart from in case 'D', very little consideration was given to the issue of individualism. It

was interesting to note, however, that there was a perception of the staff being individualistic in cases 'A' and 'B' and the implementation in both these cases was ineffective. On the other hand, in the two cases in which implementation was either effective or somewhat effective (cases 'C' and 'D'), the culture was perceived as team-centred rather than individualistic. This lends weight to the argument that individualism is a barrier to the effective implementation of the EFQM Excellence Model in UK University academic units. It is interesting to note that the two cases in which the academic staff were perceived as individualistic, were also the two cases in which the highest proportion of staff time was spent on research activities. Research is often an individual pursuit in universities.

There emerged no clear view from the literature on whether the critical nature of academic staff would be an aid or a barrier to EFQM Excellence Model implementation. The issue of academic freedom and the criticality of academic staff was only taken into consideration in case 'D'. Case 'D' also had the lowest level of perceived academic freedom and criticality exercised by staff. It was thought that the academic staff might critique the EFQM Model and the facilitators would need to be prepared for this. This actually happened during the implementation phase. An incident of this also happened in case 'B' when the Dean's advisory grouped critiqued the EFQM Model at a workshop run by the project manager. The small amount of evidence from this research therefore lends weight to the argument (Ho & Wearn, 1996) that academic staff freedom and criticality is likely to present a barrier to effective implementation of the EFQM Excellence Model.

Savolainen (1999) found that resistance to the implementation of continuous improvement initiatives was embedded in professional cultures. Apart from case 'D', almost no consideration was given to the issue of the professional nature of academic staff. In this case it was thought that staff were used to quality models within the public sector that they engaged with and therefore would be accepting of the EFQM Model. Case 'D' exhibited the most effective implementation. This supported Brunetto's (2001) research, which argued that, in the Swedish higher education sector, the professional authority associated with professionals in organisations needed to be understood in order to implement new policies. In all four cases the perception was that academic staff saw themselves as professionals to a high extent. This research therefore offered no further insight into the issue of whether the professional nature of academic staff might aid or hinder the implementation of the EFQM Excellence Model in UK university academic units.

Raisbeck (2001) identified a culture of openness and co-operation as one of the fundamentals for the implementation of the EFQM Excellence Model. This view was supported by Moeller & Sonntag (2001) who identified a supportive organisational environment as one of the success

factors in facilitating successful self-assessments in German healthcare. The culture of co-operation and support was considered to some extent in all four cases. In case 'A' the culture was seen as unsupportive, apart from for mandatory initiatives, and there were some particular concerns about whether there would be support from the school's senior management team. The implementation was ineffective in this case. In case 'B' only pockets of the Faculty were seen as generally supportive of change. The implementation was also ineffective in this case. In case 'C' the culture was seen as moving towards being supportive and co-operative and the Director of the school thought that there would be an expectation from the school members of management support. The implementation was somewhat effective in this case. In case 'D' there was a strongly shared view that the culture in the Faculty was supportive and the Dean had realised that the Faculty Executive would have to be seen to be committed. In this case the implementation was effective. The trend exhibited then was one in which the effectiveness of the implementation increased along with the perceived level of the culture of support in the academic unit. This concurs with the literature. It is interesting to note that, in three of the four cases, the interviewees linked the issue of the culture of support with the issue of support from the senior management.

From the literature review it was seen that there was broad support that recognition for staff involved in implementation could have a positive effect on staff motivation and willingness to change, and this in turn could be an aid to effective implementation. However, there was some concern expressed about the appropriateness of linking rewards to staff involvement in implementation and also the issue of internal awards. In both cases, the concern was about the potential to negatively impact on staff motivation. The other major issue across the area of recognition and rewards was whether to recognise and reward at the individual or team level. There appeared to be more support in the literature for team rewards and recognition rather then this being done on an individual basis. Despite the emphasis on rewards and recognition in the literature, only in case 'C' was the issue considered in the planning element of the preparation phase and in none of the four cases were any rewards or recognition planned.

It appeared from the literature that amending the language and terminology of the EFQM Excellence Model so that it was more suited to the HE context could have been an aid in implementation. This issue was considered in all four cases. In cases 'A' and 'B' the project managers decided not to mention the EFQM Model and this caused some confusion. In case 'C' the decision was taken not to tailor the language and terminology in the EFQM Model and in case 'D' a decision was made to use HE examples to explain concepts. This approach was supported by Zink & Voss (1999) who argued that the EFQM Excellence Model must be illustrated by definite examples. Thus there was no evidence that tailoring the language and terminology to suit the HE context was a significant issue in aiding implementation.

In general then, the cases in which the most consideration was given to cultural/contextual issues ('C' and, particularly, 'D') in the planning element of the preparation phase exhibited the most effective implementations. This supported the literature review, in which several authors emphasised the need for an understanding of the culture of an organisation as being crucial to successfully implementing quality programmes (Chin & Pun, 2002; Buch & Rivers, 2001; Munro-Faure & Munro-Faure, 1994; Anjard, 1995; Sousa-Poza et al, 2001).

EFQM Model specific choices

As part of the planning element of the preparation phase, organisations have a number of choices relevant to the use of the EFQM Excellence Model which can be made and these were identified in the literature review in chapter 2.

A number of approaches to self-assessment were identified; questionnaire, matrix chart, workshop and pro-forma (EFQM, 2003b). Cases 'A' and 'C' used the workshop approach and case 'D' used a hybrid of workshop and pro-forma. It was unclear which approach to self-assessment was chosen in case 'B'. Clearly the workshop approach was favoured in the cases. The benefits associated with this approach are that it; is an excellent way to familiarise management teams to understand the Model, supports team building and allows for discussion and agreement regarding the strengths and areas for improvement, which provides motivation towards improvement actions (EFQM 2003b). Of the three cases in which workshops were used, 'C' and 'D' used them because the consultants had recommended them and the reason for the choice in case 'A' was to involve staff. So the choice of self-assessment approach was not generally given much thought because of the involvement of consultants.

EFQM (2002) recommended the use of RADAR Logic. Case 'A' chose not to use RADAR Logic as they were not fully using the EFQM Model. Cases 'B', 'C' and 'D' all chose to use RADAR Logic, but for different reasons. In case 'B' it was to set key results areas, in case 'C' it was to help with scoring and in case 'D' it was to be used as a planning tool. Clearly RADAR Logic was seen as a useful tool, however there was no consistent reason for choosing to use it. An interesting point in respect to the use of RADAR Logic was that Awkati (2000, p.27) had recommended applying the model *"back to front"* using RADAR and not mentioning the model or its criteria. This approach was used unsuccessfully in case 'B'.

When self-assessing using the EFQM Excellence Model a decision needs to be made whether or not to use scoring. In the literature, Gadd (1995) presented the benefits of scoring as to decide on award winners, to benchmark and to identify relative strengths and areas for improvement. Only case 'C' chose to score and the reason given was that scoring suited the academic culture of the school, i.e. not for any of Gadd's reasons. Many writers warned of the potential negative

effects of scoring, which were the use of figures to control behaviour and the risk that scoring could divert attention away from striving for improvement (Dale et al, 1998; Dale et al, 2000; Conti, 1997; Samuelsson & Nilsson, 2002; Lewis, 1999). The reasons given in the three cases in which it was decided not to use scoring coincided with those in the literature, namely that it was better to concentrate on areas for improvement (case 'B'), scoring could be demotivating (case 'A') and concerns about scoring resembling *"marking"*, and the competitive *"league table effect"* (case 'D'). Thus this research adds weight to the argument for not using scoring in EFQM Excellence Model self-assessment.

In relation to scoring, Oakland (1999) argued that consideration should be given to changing the weightings of the elements of the EFQM Model. In the single case in which scoring was used, it was decided not to change the weightings. There was no clear reason given for leaving the criterion weightings as they were. The project manager thought that this would aid Benchmarking.

Demonstrating Senior Management Commitment

It could be clearly seen from the literature review that demonstrating senior management commitment to the implementation was a key factor if implementation was to be successful, furthermore this commitment had to be active and visible (Aly & Akpovi, 2001; Owlia & Aspinwall, 1997; Oakland, 1999; Atkinson, 1990; Dale et al, 1998; Poirier & Tokarz, 1996; Munro-Faure & Munro-Faure, 1994; Thiagaragan et al, 2001; Bardoel & Sohal, 1999; Krasachol & Tannock, 1999; Raisbeck, 2001; O'Brien & O'Hanlon, 2000; Lewis, 1999; Zink & Voss, 1998; Warwood & Antony, 2003). In case 'A' very few actions were planned that would have demonstrated senior management commitment and in case 'B' there were no plans for how senior management commitment to the implementation would be demonstrated. In both of these cases implementation was ineffective. In cases 'C' and 'D' many actions were planned to involve senior management in the implementation. In these cases implementation was effective to some extent. Clearly though, these planned actions would only have aided the implementation if they had actually been deployed. This is discussed later as part of the implementation and evaluation phase.

Project Management

In general, most of the elements for project management were put in place in the planning element of the preparation phase in all four cases.

In all the cases a steering committee was set up, however in case 'B' this did not have any members from within the Faculty senior management. This goes against the advice in the

literature to have senior managers in the steering committee (Ho & Wearn, 1996; Jackson, 2001; Kumar & Douglas, 2002; Conti, 1997).

Project Managers were appointed in all four cases. All had some experience of managing projects and experience of the university context, although only the project manager in case 'B' had any detailed previous knowledge of the EFQM Excellence Model. These appointments then went against the advice of Jackson (2001) who recommended that the project manager should have expertise in the use of the EFQM Model. All the cases had project consultants available to them (see later in this sub-section), which reduced the need for the project manager to have this expertise.

Three out of the four cases had project champions. Case 'B' did not have one and implementation was ineffective in this case. In case 'A' the project champion was the Head of Department who had initiated the project. In case 'C' the Vice Chancellor championed the project and in case 'D' the Dean was the champion. Melan (1998) identified that the existence of advocates to facilitate change was a key factor for successful implementation of improvement and Atkinson (1990) advocated that a manager of high status should champion the implementation, the higher the status the better. Samuelsson & Nilsson (2002) identified the need for a member of staff who is accepted at all levels to convince everyone. Thus cases 'C' and 'D' would appear to have been in the strongest position in relation to champions and case 'B' in the weakest position. Clearly there is a link with the previous section on senior management commitment, as being a project champion is a way of exhibiting senior management commitment.

All four cases had consultants with extensive knowledge of the EFQM Model available to them through the HEFCE consortia. How these were actually used will be discussed in the implementation and evaluation phase. In the literature there was support for the position of project consultant to aid effective implementation. This is someone with expert knowledge of the EFQM Excellence Model and the balance of opinion was that this should be someone within the organisation rather than external to it (Koehler & Pankowski, 1996; Arcelay et al, 1999; Samuelsson & Nilsson, 2002). There was some limited support for the use of external consultants at the start of the implementation process (Van der Wiele et al, 1996).

Vrakking (1995), Owlia & Aspinwall (1997), Samuelsson & Nilsson (2002), Henderson et al (1999), Michael et al (1997), Hillman (1994), Taylor & Hill (1992) and Taylor & Hill (1991) emphasise the importance of a project activities plan. This heavy emphasis was reflected in all four cases in which project activities plans with outline timescales were developed. The literature advocated that the plan be developed, and therefore owned, by the senior managers

(Conti, 1997; Chin & Pun, 2002; Vrakking, 1995). This only occurred in case 'D'. In case 'B' the plan was developed by the project manager and in cases 'A' and 'C' the plan was developed at the consortium level. Another factor that emerged from the literature when planning an EFQM Excellence Model implementation was the existence of other projects, which could divert attention, time and resources away from the implementation. PriceWaterhouseCoopers (2000) in their evaluation of the UK Public Sector Excellence Programme, identified initiative overload as a significant barrier to achieving excellence. This potential barrier was only seen in case 'B', in which a significant number of projects and initiatives were running at the same time as the EFQM implementation.

Arrangements for project progress monitoring were put in place in the preparation phase in all four cases. This was seen as important in the literature (Ho & Wearn, 1996; Samuelsson & Nilsson, 2002; Melan, 1998; Jackson, 2001; Burke 1993).

The literature stressed the importance of resource allocation (Dale et al, 2000; Aly & Akpovi, 2001; Cabinet Office, 2001; Mersha, 1997; Michael et al, 1997; Zink & Voss, 1998; Jackson, 2001; Zink & Schmidt, 1998; Moeller & Sonntag, 2001; Van der Wiele et al, 1996; Dadzie, 2004). All the cases had resources allocated to them (funded by the HEFCE projects) in the early stages of the implementation. This was mainly funding for a half-time project manager and money for training.

A project pilot was only planned in case 'B'. Harvey (1995) reported on a number of cases of TQM implementation in Higher Education in which it had been piloted in one small area before extending the process. However, he reported that there was little evidence to suggest that these small-scale, limited introductions led to full-scale implementation. This turned out to be the situation in case 'B'. This was perhaps an example of Vrakking's (1995, p.43) *"experimental garden"*. He argued that the piloting approach indicated that the faith in the innovation was insufficient. This would result in an unsettling of the main decision to proceed and a lengthening of the implementation which would open it up to risks. Particularly, this could present a very effective opportunity for those who were not happy with the innovation to display resistance. Some of the interviewees in case 'B' shared the same concerns about the piloting arrangement with one saying *"it had been taken away from the Faculty"*.

Education and Training

In the literature education and training were clearly seen as key factors in effective implementation in order to affect staff knowledge and attitudes, and to introduce the necessary skills to carry out EFQM Excellence Model self-assessment (Mersha, 1997; Munro-Faure & Munro-Faure, 1992; Oakland, 1999; Poirier & Tokarz, 1996; Antony et al, 2002; Krasachol &

Tannock, 1999; Ho & Wearn, 1996; Owlia & Aspinwall, 1997; Warwood & Antony, 2003; Hansson et al 2003). Taylor & Hill (1992, p.9) argued that:

"Attempting a TQM initiative without providing the training necessary to provide those involved with the appropriate knowledge, skills and attitudes would be a recipe for disaster".

The amount of planned education and training varied considerably across the four cases. In case 'A' very little training was planned and in case 'B' none was planned. As a contrast considerable amounts of training were planned in cases 'C' and 'D'. This mirrored the effectiveness of the implementations ('A' and 'B' ineffective, 'C' and 'D' effective) and offered strong support for Taylor & Hill's (1992, p.9) view that not providing training *"would be a recipe for disaster".*

Communication

Vrakking (1995), Poirier & Tokarz (1996), Henderson et al (1999), Pupius (2002), Lewis (1999), Zink & Voss (1998), Oakland (1999) and Hillman (1994) emphasised the importance of communication to the implementation process, and Oakland (1999) and Conti (1997) stressed the importance of a communications plan in the implementation process. In case 'A', although there was a communications plan outlined in the project plan, it appears that there was little knowledge of its existence. In case 'B', although there was an overall communications plan for the consortium there was no local communications plan. In case 'C' there was no initial communications plan and in case 'D' there was no communications plan. So, despite the emphasis in the literature, communication planning was almost non-existent in the four cases studied.

Staff Involvement and Teamwork

The literature indicated that the involvement of staff in various ways was crucial in implementation (Poirier & Tokarz, 1996; Harvey, 1995; Mersha, 1997; Vrakking, 1995; Thiagarajan & Zairi, 1997; Taylor & Hill, 1992; Jackson, 2001; Munro-Faure & Munro-Faure, 1992). Furthermore, the use of teams was seen as the primary mechanism for this involvement (Conti, 1997; Taylor & Hill, 1992; Oakland, 1999; Mersha, 1997; Ho & Wearn, 1996; Chapman, 2000; Krasachol & Tannock, 1999; Van der Wiele et al, 1996; Warwood & Antony, 2003).

Apart from case 'B' in which there was no plan for involving staff, all the other three planned to involve staff in teams. In cases 'A' and 'C' the plans were similar, to involve a diagonal slice of staff in self-assessment teams and then to set up improvement teams to work on improvement projects. In case 'D' the plan was to involve senior staff in self-assessment teams in each school within the Faculty.

Pace in the Planning element of the Preparation Phase

Vermeulen (1997) indicated that failure of TQM implementation could occur when the implementation process outpaced acceptance of the change and the understanding of the need and benefits. Vrakking (1995) took the opposite view and argued that the chances of successful implementation increased if the time between generation of the idea and the implementation was kept to a minimum. In the two most effective implementations ('C' and 'D') the planning was completed quickly in one and three months respectively. Conversely, the planning in the other two cases, in which implementation was relatively ineffective, took 6 months in case 'A' and was never really completed in case 'B' as the plan had to be redone due to lack of progress with the implementation. Thus this research strongly supports Vrakking's (1995) view that the time between the generation of the idea and the implementation should be kept to a minimum, i.e. planning should occur quickly.

Pace with which the Preparation Phase moved to the Implementation and Evaluation Phase

Three of the four cases moved quickly from preparation to implementation. In case 'A' the self-assessment workshop took place just one month after the planning had finished. In case 'C' the training for the school's senior management team took place about 6 weeks after the planning had finished and in case 'D' a presentation to the Faculty Executive occurred 2 months after the end of the planning element. In case 'B' however there was a gap of about 3 months from the end of the planning element to the self-assessment in the pilot school. Case 'B' was the least effective of the four implementations. This then offers further support to Vrakking's (1995) view that the chances of successful implementation are increased if the time between generation of the idea and the implementation are kept to a minimum.

7.2.3 Implementation and Evaluation Phase

7.2.3.1 Integration

PriceWaterhouseCoopers (2000, p.35), in their evaluation of the UK Public Sector Excellence Programme, stated that:

"Detractors of the Excellence Model are more likely to be found in an organisation where there is a low level integration of the use of the model in the day-to-day running of the business".

Four issues emerged from the literature that suggested that implementation of the EFQM Excellence Model was more likely to be successful if it was integrated into the organisation and its processes in various ways. Attempts were made in the cases to use these integrative approaches. In case 'A' three of the four were attempted but with little success. In case 'B' only two were attempted with almost no success. Case 'C' attempted three integrative approaches with some degree of success and case 'D' attempted all four integrative approaches with a good

degree of success. Thus there is some support for Bauer's (2002) view that the more that integration takes place, the more likely it is that implementation will be effective. In the next sections these integration issues are discussed in the light of the case study findings.

Multi-level use in the organisation

In cases 'A' and 'C' the EFQM Model was only used in one level, the school. There was an unsuccessful attempt to use it in two levels in case 'B'. Only in case 'D' was the EFQM Model used successfully in more than one level. It was used in 2 levels for most of the Faculty (Faculty and school levels) and in three levels in one school with the addition of school sub-units. Case 'D' exhibited the most effective implementation and the EFQM Model was used in the most levels. In the implementation of TQM, Thiagaragan et al (2001) recommended establishing activities in all the levels of the organisation. The author suggested in the literature that this might also be applicable with the EFQM Excellence Model having the effect of a "tap root", helping to ensure integration into the organisation. This research offers some support for this view.

Alignment with other organisational systems

The literature indicated that if the EFQM Excellence Model could be aligned with activities which were already taking place within an organisation, then it was more likely to become integrated into the organisation and thus aid effective implementation (Melan, 1998; Poirier & Tokarz, *1996; Dale et al, 1998; Oakland, 2000; Jackson, 2001). In cases 'A', 'B' and 'C' there* were no attempts to align the use of the EFQM Excellence Model with other organisational systems, however in case 'D' the EFQM Model was aligned with 5 other organisational systems. It was linked with internal quality reviews, the institutional audit, a teaching contract review, the performance reviews of the Heads of Schools and the annual monitoring of taught programmes. Case 'D' had the most effective implementation. This then offers support to the views offered in the literature. In addition, this issue appears to be important enough to merit its inclusion in the planning element of the preparation phase of the theoretical framework when this is revisited later in this chapter. It could be argued that this might be included in the issue of *EFQM Model specific choices* or *intended uses of the EFQM Model,* however the alignment of the EFQM Model with other organisational systems is not explicit within these issues in the framework.

Actual uses of the EFQM Model, particularly its use in strategic planning

It was identified from the literature in chapter 2 that there were a number of potential uses of the EFQM Excellence Model; as a self-assessment framework to aid improvement, as a strategic tool, to provide a holistic, broader view of the business, as a performance management tool, as a benchmarking tool, as a means of integrating other quality and management initiatives and tools, as a means of gaining a quality award and to motivate staff to get involved in quality

improvement activities. All four case study organisations used the EFQM Excellence Model for self-assessment, two used it to motivate staff to get involved in quality improvement activities, one used it to provide a holistic, broader view of the business and two used it as a strategic tool.

It appeared from the literature that linking EFQM Excellence Model self-assessment with the strategic planning processes of an organisation had the potential to help integrate the EFQM Excellence Model into the organisation's processes and thus aid effective implementation (Conti, 1997; Wells, 2001; Henderson et al, 1999; Van der Wiele et al, 1996; Bardoel & Sohal, 1999; Zink & Voss, 1998; Pupius, 2002; Hansson et al, 2003). In case 'C' the school's 2002 strategic plan was based on the outcomes of their 2001 self-assessment and in case 'D' the self-assessment was integrated into the annual business planning process on two occasions. These two cases exhibited the most effective implementations. McCarthy et al (2002) believed that the important aspect of this issue was whether the actions arising from self-assessment were agreed as important and reviewed by senior management, and the integration of the action plan into the business plan was simply a means of achieving this. This is exactly the process that was adopted in case 'D'. Thus this research offers some support for the view expressed in the literature that linking EFQM Excellence Model self-assessment with the strategic planning processes of an organisation has the potential to help integrate the EFQM Excellence Model into the organisation's processes. This is because it legitimises the action plan through the involvement of senior management.

In chapter two there was great debate in the literature on the use of the EFQM Excellence Model as a strategic tool. Three potential arguments were distilled from this:

- That the EFQM Excellence Model could be used as a strategic planning model, however, despite some examples of its use in this way in the literature, there was no consensus on the model's appropriateness as a strategic planning model.
- That the outputs of self-assessment using the EFQM Excellence Model could be used as inputs to the strategy and business planning process. There was much evidence from case examples and surveys in the literature to support its use in this way.
- That the EFQM Excellence Model could be used as a means of operationalising strategy devised through other means.

In cases 'C' and 'D' the self-assessment was used in the second of these ways, as an input to the strategy and business planning process (McAdam & Welsh, 2000; Stahr, 2001; Gadd, 1995; Porter et al, 1996; Pitt, 1999). There was no evidence in the cases of its use in either of the other two ways.

Staff Involvement and Teamwork

The amount of staff involvement with the EFQM Excellence Model varied significantly across the four cases, but was broadly in line with the planned involvement, with the exception of case 'B'. In case 'C' around 30 % of the school's staff were involved in self-assessment and

improvement teams. In case 'A' around 15 % of the school's staff were involved in self-assessment and improvement teams. In case 'D' around 6% of the Faculty's staff (mainly senior) were involved with the EFQM Model and in case 'B' only about 3% of the Faculty's staff had any sort of involvement with the EFQM Model and no teams were formed. A high level of staff involvement didn't therefore necessarily result in the integration of the EFQM Model into the case study organisation.

Teams were formed in three of the four cases, however there was little progress on planned improvements in the improvement teams in these three cases. This perhaps lends some support to the views of Harvey (1995) and Moeller & Sonntag (2001) who saw teamwork as a potential barrier to quality improvement initiatives in Higher Education.

Pace in the Integration element of the Implementation and Evaluation Phase

The pace at which the integrative activities took place within the implementation and evaluation phase varied across the four cases. In cases 'A', 'B' and 'C' the use of the EFQM Model was not integrated into the organisations. In case 'A' the self-assessment and the setting up of the improvement teams took place within the first 12 months, but the improvement groups made no real progress. In case 'B' the initial self-assessment in the pilot school took place within the first 6 months, but the EFQM Model was not used then for 20 months. In case 'C' the initial use of the EFQM Model occurred 7 months into the project, but integrative activities stopped around 18 months into the project. In case 'D' the EFQM was initially used 3 months into the project and integrative activities then occurred regularly throughout the three years of the project. These were mainly linked into the business planning cycle. Thus the integrative activities occurred at a good pace in this case. This again lends weight to Vrakking's (1995) view that the chances of successful implementation are increased if the time between generation of the idea and the implementation are kept to a minimum.

7.2.3.2 Momentum

Bardoel & Sohal (1999) emphasised the importance of follow-through if an organisation is attempting to develop long term commitment to any continuous improvement initiative. The literature review identified a number of actions which, if carried out effectively by organisations, could help to ensure that the implementation process maintained its momentum. Generally, the greater the number of these actions that occurred in a case, the greater the momentum and the greater the effectiveness of the implementation. In case 'A' only two approaches that might have produced momentum were used and the implementation was ineffective. In case 'B' no approaches were used and the implementation was ineffective. In case 'C' five approaches were used, but these were mostly only used in the first 18 months after which momentum was lost. The implementation was somewhat effective in this case. In case 'D'

five approaches were used and momentum was maintained throughout the three years. The implementation was effective in this case.

Project Management

Within the implementation and evaluation phase the four cases exhibited varying degrees of usage of the elements of project management. In general, the cases in which effective project management was carried out were more effective in implementation of the EFQM Model. This then supports the view of Hides et al (2000) who argued that project management could facilitate total quality. Case 'D' exhibited the most effective implementation and in this case the project manager and the project champion were in post for the whole of the 3 years, there was some progress monitoring at the Faculty level, the activities plan was followed, resources were maintained over the 3 year period and the project consultant was used in the first year.

Case 'C' had the next most effective implementation and in this case the activities plan was followed for the first year, the project consultants were used and the project champion was in place for the three year period, however the project manager was only in place for two years, meaning that the resources were not maintained and little progress monitoring took place.

Case 'A' had the next most effective implementation, although this was relatively ineffective. In this case the project manager was in place for the whole 3 years, the steering committee met 5 times to monitor progress, the resources were maintained and the project consultant was used, however the project champion retired half way through the project and the activities plan was not followed.

Case 'B' exhibited the least effective implementation. In this case the project manager was in place for the whole of the three years and the resources were maintained, however the activities plan was not followed, there was no project champion, the project consultant was not used and a Faculty-level steering committee was not set up, and so no progress monitoring took place.

Thus this research provided evidence to support the arguments presented in the literature that effective project management helped to produce momentum in the implementation phase. There was a heavy emphasis in the literature on the importance of a project activities plan (Vrakking, 1995; Owlia & Aspinwall, 1997; Samuelsson & Nilsson, 2002; Henderson et al, 1999; Michael et al 1997; Hillman, 1994; Taylor & Hill, 1992; Taylor & Hill, 1991). The only case that kept to its project plan (case 'D') produced the most effective implementation. Thus this research supports the importance of a project activities plan identified in the literature.

On the issue of having a project champion, Melan (1998) identified that the existence of advocates to facilitate change was a key factor for successful implementation of improvement and Atkinson (1990) advocated that a manager of high status should champion the implementation, the higher the status the better. Samuelsson & Nilsson (2002) identified the need for a member of staff who is accepted at all levels to convince everyone. In the two cases which exhibited the most effective implementations ('C' and 'D') the project champions stayed in post for the full 3 years and they were both of high status (Vice Chancellor and Dean). This then offers support for the importance of a project champion.

Project progress monitoring was seen as important in the literature (Ho & Wearn, 1996; Samuelsson & Nilsson, 2002; Melan, 1998; Jackson, 2001; Burke 1993). In case 'B' no progress monitoring took place at the Faculty level and implementation was ineffective. In case 'A' there was regular progress monitoring yet implementation was ineffective. In cases 'C' and 'D' only a small amount of progress monitoring took place and yet these were the two most effective implementations. Thus this research does not support the importance of project progress monitoring which was identified in the literature.

The literature stressed the importance of resource allocation (Dale et al, 2000; Aly & Akpovi, 2001; Cabinet Office, 2001; Mersha, 1997; Michael et al, 1997; Zink & Voss, 1998; Jackson, 2001; Zink & Schmidt, 1998; Moeller & Sonntag, 2001; Van der Wiele et al, 1996). The level of resources allocated was maintained in three of the four cases. In case 'C' the project manager moved to another role after 2 years and was not replaced. The implementation in this case stalled at this point. Thus this research offers some support to the argument for the importance of resources.

Burke (1993) argued that the role of the project manager was one of the key aspects influencing project success. In three of the four cases the project managers stayed in their roles for the full three years, however in case 'C' there was no project manager for the last year of the project and the implementation stalled at this point. This offers some support for the importance of the role of project manager.

The balance of opinion in the literature was that the project consultant should be someone within the organisation rather than external to it (Koehler & Pankowski, 1996; Arcelay et al, 1999; Samuelsson & Nilsson, 2002). This was the situation in cases 'B' and 'D'. There was some limited support for the use of external consultants at the start of the implementation process (Van der Wiele et al, 1996) and this occurred in cases 'A' and 'C'. So this research offers some support for the position of project consultant.

Demonstrating Senior Management Commitment

There was a strong trend for effective implementation to have occurred in cases where senior management commitment was strongly demonstrated. The most effective implementation took place in case 'D' in which senior management commitment was demonstrated in several visible ways and the perception of the demonstration of senior management commitment was high (5.25 out of 7). The next most effective implementation was in case 'C' in which there were some demonstrations of senior management commitment in the first year, but this was thought to have waned in the final two years (this coincided with the Director of the School stepping down as project manager at the end of year 2). The perception of the demonstration of senior management commitment was reasonable at 3.9 out of 7. The implementation in case 'A' was ineffective, there were very few examples of senior management commitment being demonstrated and a low perception of this at 2 out of 7. The least effective implementation occurred in case 'B' in which there were no examples of senior management commitment and a low perception of it at 2 out of 7.

This research then offers strong support to the argument put forward in the literature that demonstrating senior management commitment to the implementation was a key factor if implementation was to be successful, furthermore this commitment had to be active and visible (Aly & Akpovi, 2001; Owlia & Aspinwall, 1997; Oakland, 1999; Atkinson, 1990; Dale et al, 1998; Poirier & Tokarz, 1996; Munro-Faure & Munro-Faure, 1994; Thiagaragan et al, 2001; Bardoel & Sohal, 1999; Krasachol & Tannock, 1999; Raisbeck, 2001; O'Brien & O'Hanlon, 2000; Lewis, 1999; Zink & Voss, 1998; Taylor and Wright, 2003; Hansson et al, 2003; Taylor & McAdam, 2003; Oakland & Porter, 2004).

Communication

Across the four cases there was very little communication to staff about the project. This reflected the lack of communications planning discussed earlier. Despite this, two cases managed to implement the EFQM Model effectively. So this research suggests that communication does not impact significantly on the effectiveness of the implementation. This goes against the views in the literature on the importance of communication to the implementation process (Vrakking, 1995; Poirier & Tokarz, 1996; Henderson et al, 1999; Pupius, 2002; Lewis, 1999; Zink & Voss, 1998; Oakland, 1999; Hillman, 1994).

Education and Training

The case study evidence pointed to the importance of education and training to the effectiveness of the implementation. In case 'B' no training took place and the implementation was ineffective. In case 'A' only a small amount of training took place resulting in little knowledge of the EFQM Model and ineffective implementation. In cases 'C' and 'D' a considerable amount

of training took place and implementation was effective. In the literature education and training were clearly seen as key factors in effective implementation in order to affect staff knowledge and attitudes, and to introduce the necessary skills to carry out EFQM Excellence Model self-assessment (Mersha, 1997; Munro-Faure & Munro-Faure, 1992; Oakland, 1999; Poirier & Tokarz, 1996; Antony et al, 2002; Krasachol & Tannock, 1999; Ho & Wearn, 1996; Owlia & Aspinwall, 1997). This research offers strong support to this argument.

Koehler & Pankowski (1996) and Thiagarajan & Zairi (1997) advocated just-in-time education and training to ensure what was learnt was applied right away and not lost. In case 'D' the project manager did express some concerns that some of the training occurred too early, in that the skills were not used immediately after the training.

Improvement Planning, Action and Review

In the literature, the importance of improvement planning, action and review was demonstrated (Van der Wiele et al, 1996; Shergold & Reed, 1996; Zink & Schmidt, 1998; Pitt, 1999; Samuelsson & Nilsson, 2002; Arcelay et al, 1999; Chapman, 2000). This turned out to be one of the least developed issues in the cases. In case 'B' this stage was not reached at all and in case 'A' two improvement teams were set up but no improvement actions took place. In case 'C' three improvement groups were set up and some minor initial improvements were actioned, however these groups lost momentum in years two and three. In case 'D' improvement actions started around 14 months into the project and continued over the following 18 months. The review of these was linked into the self-assessment and business planning cycle that had been established. This approach of linking improvement planning and review into the business plan was recommended in the literature (Samuelsson & Nilsson, 2002; Arcelay et al, 1999).

There was much support in the literature for identifying some *quick wins* in improvements to hold up as examples in the organisations (Cullen & Hollingum, 1987; Atkinson, 1990; Chapman, 2000; Jackson, 2001; Moeller & Sonntag, 2001). This approach was only used in case 'C' and produced some initial improvements, however this was not followed by the larger, higher impact improvements that had been hoped for.

In cases 'A' and 'C' the implementation process lost momentum when the improvement projects lost momentum and no further use of the EFQM Model happened in either case after this time. This supported the view of the Cabinet Office (2001) in which it was recommended that it was ensured that an organisation acted on improvement opportunities as failure to do so would undermine the organisation's credibility. Neither of these case study organisations has managed to resurrect the use of the EFQM Model since the improvement teams stalled. This is not surprising, as the improvement actions would be the main source of benefit to the organisation.

Without these benefits it is hardly surprising that an organisation would lose momentum in its use of the EFQM Model.

Recognition and Rewards

As recognition and rewards were not planned in any of the cases, it came as no surprise that there was little activity in this regard in the cases. There was no recognition of or rewards for staff in three of the cases ('A', 'B' and 'D'). In case 'C' there were no rewards, however there were a number of instances of recognition. Case 'D' still exhibited effective implementation despite not using recognition and rewards. This then diminishes the argument presented in the literature of the importance of recognition and rewards (Jackson, 2001; Thiagaragan et al, 2001; Brunetto, 2001; Mersha, 1997; Poirier & Tokarz, 1996; Koehler & Pankowski, 1996; Thiagaragan & Zairi, 1997).

Evaluation of Benefits

In 7.2.1 it was identified that only in cases 'C' and 'D' were clear objectives and expected benefits set. In terms of the achievement of expected benefits, in cases 'A' and 'B' benefits were not achieved, in case 'C' they were partly achieved and in case 'D' they were fully achieved. This then reflected the expected benefits. Where clear objectives and benefits had been set, these tended to be achieved. This emphasised the critical nature of setting objectives and expectations of benefits (Ryan, 1996; Samuelsson & Nilsson, 2002).

Pace in the momentum element of the Implementation and Evaluation Phase

The cases in which many of the actions which were expected to produce momentum took place exhibited momentum and, in turn, effective implementation. In case 'B' almost no actions that might have produced momentum took place, the implementation did not progress on schedule and the pace was perceived as too slow. In case 'A' only a few actions that might have produced momentum took place, the implementation did not progress on schedule and the pace was perceived as too slow. In case 'C' many actions that might have produced momentum took place, the first year progressed on schedule and the pace was perceived as about right in the first year, but then it was perceived to have slowed down considerably. In case 'D' many actions that might have produced momentum took place, the implementation progressed on schedule and the pace was perceived as about right. This research then adds weight to Vrakking's (1995) research. After investigating many cases of seized-up implementation processes, he argued that if implementation is slow then it is doomed to fail. Taylor & McAdam (2003, p.396) refer to *"Fast track implementation"* in which the transferability of earlier learning helps to fast-track the implementation of the EFQM Excellence Model.

7.2.4 Effectiveness of the Implementation

It was seen from the definitions examined in chapter one, section 1.4 that implementation infers effectiveness. Therefore something that is *effectively implemented* is something that is in operation or use.

The author argued that the EFQM Excellence Model would have been effectively implemented when its use had been integrated into the regular management practices of the organisation. This was based on the definition of *effectively implemented* described above. For example, had ownership of the self-assessment process been demonstrated by staff in schools/departments/divisions carrying out their own self-assessments and/or were the improvement plans generated in self-assessment linked in to the organisation's strategy and/or business planning process? Fullan & Pomfret (see Vrakking 1995, p.44) describe the goal of implementation as:
"maximization of the degree in which the actual use of an innovation corresponds with its intended use".

So if an organisation was actually using the EFQM Excellence Model in the way that it intended, then it could be argued that it had been successfully implemented. The following table (table 7.1) compares the intended and actual uses of the EFQM Excellence Model in each case.

Using the definition of effective implementation that was developed in chapter one that if an organisation was actually using the EFQM Excellence Model in the way that it intended, then it could be argued that it had been successfully implemented, the effectiveness of the implementation in each of the four cases can be assessed from the above table.

In case 'A' the intended use was not clear and the EFQM Model was barely used at all. Therefore the implementation can be described as ineffective. This corresponds with the assessment of the implementation using the PriceWaterhouseCoopers (2000) framework in which it was viewed to be in the lower half of the entry level.

In case 'B' there was a clear intention to use the EFQM Model as a self-assessment framework to aid improvement, however it was barely used at all in the 3-year period. Therefore the implementation can be described as ineffective. This corresponds with the assessment of the implementation using the PriceWaterhouseCoopers (2000) framework in which it was viewed to be in the lower half of the entry level.

In case 'C' the intended and actual uses of the EFQM Model corresponded reasonably well, however the Model was only used on one occasion and hasn't been used for over two years.

Therefore the implementation can be described as having been somewhat effective. This roughly corresponds with the assessment of the implementation using the PriceWaterhouseCoopers (2000) framework in which it was viewed that the level of implementation was about on the boundary of the upper half of the entry level and the lower half of the maturing level.

In case 'D' the EFQM Model was used for all its intended uses and some extra ones. It was used on a regular basis over the 3-year period. Therefore the implementation can be described as having been effective. This corresponds with the assessment of the implementation using the PriceWaterhouseCoopers (2000) framework in which it was viewed that the level of implementation was about half way up the maturing level.

Case	Intended Uses	Actual Uses
A	Not clear, possibly self-assessment framework to aid improvement.	• One crude self-assessment. • Some limited involvement in quality improvement.
B	Self-assessment framework to aid improvement.	One outline self-assessment in the pilot school.
C	• Self-assessment framework to aid improvement. • To provide a holistic, broader view of the business. • A means of integrating other quality and management initiatives and tools. • To motivate staff to get involved in quality improvement activities (lesser intent).	• One self-assessment. • To provide a holistic, broader view of the business. • Once as a Strategic Tool (informed the business plan). • To motivate staff to get involved in quality improvement activities.
D	• Self-assessment framework to aid improvement. • Strategic Tool (to inform the business plan). • To motivate staff to get involved in quality improvement activities. • Benchmarking (lesser intent).	• Three self-assessments. • Twice as a Strategic Tool (informing the business plan). • To motivate staff to get involved in quality improvement activities (to a small extent). • Benchmarking (internal). • Performance Management Tool. • To provide a holistic, broader view of the business. • A means of integrating other quality and management initiatives and tools.

Table 7.1: Comparison of intended and actual uses of the EFQM Excellence Model

7.3 Discussion of the Theoretical Framework

In two cases ('A' and 'B') implementation was ineffective, whilst in one case ('C') the implementation was partly effective. In case 'D' the implementation was effective. The examination of the four cases in light of the theoretical framework has highlighted the relative importance of the various issues to effective implementation. The following issues were seen to be essential to effective implementation in that the absence of one or more of them in a case led to ineffective implementation and the presence of all of them in a case led to effective implementation:

- A clear motive, particularly setting out clear expected benefits and objectives.
- Gaining senior management commitment.
- Demonstrating senior management commitment.
- Education and training
- Staff involvement and teamwork.
- The overall pace of the implementation
- Integration of the EFQM Excellence Model into the organisation.
- Activities to maintain momentum.

Two issues were desirable in effective implementation (culture/context assessment and project management). Both of these issues appeared to help in one of the cases in which implementation was successful (case 'D'), but weren't essential as culture/context assessment didn't occur in the other partly effective implementation (case 'C'). A detailed discussion of the culture/context assessment in case 'D' has been included in section 7.1.4. Although a culture/context assessment hadn't occurred in case 'C', the interviewees' views on the culture/context in this case revealed some similarities and some differences with the culture in case 'D', the effective implementation. It too was perceived to have a teamwork culture and general support for initiatives, although the management style was seen as being more managerial than that in case 'D'. This suggests that the major elements of culture/context that impact on effective implementation are teamworking and a culture of support. The second desirable element in effective implementation, project management, had been carried out effectively in case 'A' but the implementation was still ineffective.

Some issues did not appear to have an impact on the effectiveness of the implementations. The first of these was the assessment of resistance to change via change models, as this did not occur in any of the cases. The second issue was communication planning and communication during the implementation, as this was done poorly in all the cases. The third issue was the planning and use of recognition and rewards, as this was hardly attempted in any of the cases. It is possible that appropriate use of recognition and rewards could have helped to provide some momentum, however it is not possible to draw any firm conclusions from this research. In addition, the EFQM Model specific choices did not appear to have any major bearing on the effectiveness of the implementation. The choice of self-assessment approach did not appear to

influence the outcome and the two cases in which implementation was effective included one in which scoring was used and one in which it was not. Clearly these EFQM Model specific choices need to be considered in light of the expected benefits and objectives in using the EFQM Excellence Model.

The implementation issues can be categorized into three categories; generic issues that could apply in any implementation process; context specific issues, which only apply in the UK university academic unit context, and issues that are specific to the implementation of the EFQM Excellence Model. Of the essential issues identified above, all bar one are generic issues. The exception to this is the integration of the EFQM Excellence Model into the organisation, which is an EFQM Excellence Model specific issue. Considering the desirable issues, project management is a generic issue and culture/context assessment could be seen as a generic issue, however, because of the content of the cultural/contextual issues included in this research, then it is probably more appropriate to view this as a UK university academic unit context specific issue. Thus, in terms of the impact on the effectiveness of the implementation, the major impact comes from generic issues with some impact from EFQM Excellence Model specific and context specific issues.

In the literature, taking the right steps (or phases) towards implementation and in the right sequence is important in the construction of an implementation model (Spector & Beer, 1994; Motwani & Kumar, 1997; Vrakking, 1995; Thiagaragan et al, 2001). This informed the development of the theoretical framework in chapter 4 (figure 4.2). The subsequent case studies have provided support for this argument of conducting the elements of the implementation in a time-phased sequence. In case 'D' in particular (in which implementation was effective) the phases contained in figure 4.2 were followed in that order. The order of the phases was also followed in case 'C' in which the implementation was initially effective. In case 'B' the decision phase was followed by the gaining senior management commitment element of the preparation phase and this was followed by many of the parts of the planning element. Unfortunately hardly any of the elements of the implementation and evaluation phase followed in this case and implementation was ineffective. In case 'A' large sections of the decision phase were missed along with the first element of the preparation phase in which senior management commitment should have been gained. Some parts of the planning element were carried out followed by an ineffective attempt to enter the implementation and evaluation phase. There was a belated (and failed) attempt to gain senior management commitment at this time, which was out of sequence with the implementation model. This offers support then to the views of Spector & Beer (1994, p.65) who describe a number of ingredients which must be present in TQM implementation and argue that there is a necessary sequence to their application:

"The above steps, in other words, are sequential and hierarchical: each ingredient forms a basis for the subsequent step. Organizations which violate the sequence will find their efforts weakened, and will be forced to return to and then address earlier overlooked steps".

This is exactly what occurred in case 'A', in which the sequence was violated. The author concluded that the phases described in the theoretical framework needed to be followed in the order presented, for effective implementation to occur, and so they would remain unchanged in the revision of this framework. This decision is not just based on the single case of effective implementation (case 'D') but on the evidence from case 'C' in which the implementation was initially effective but was not sustained, and from evidence from the other two cases in which some of the elements of the framework were effectively addressed. The decision phase was particularly well addressed in case 'B' in which there was a clear motive and a range of alternatives was considered before deliberately choosing the EFQM Model. The project management was carried out well in case 'A' even though the overall implementation effort was ineffective.

Hermel & Ramis-Pujol (2003), Chin & Pun (2002), Thiagaragan et al (2001), Jackson (2001), Silvestro (2001) and Taylor & Hill (1992) argued strongly for a framework that provides guidance for flexible implementation that fits the context rather than a prescriptive model for implementation. There was also support for a contingent approach to implementation (Silvestro, 2001; Melan, 1998; Savolainen, 1999) and that this should manifest itself through a tailored implementation plan (Mersha, 1997; Michael et al, 1997; McAdam & Welsh, 2000; Raisbeck, 2001; Sousa-Poza et al, 2001; McCarthy et al, 2002). These views are supported by this research as effectiveness in the various elements of the implementation guidance framework has been achieved in different ways in the different cases. In case 'D' in particular there was an attempt to fit the implementation to the context and this helped in producing an effective implementation. Therefore the author's proposal to present the framework as a *guidance* framework for implementation in UK University academic units is supported by the primary research. This decision was made on the evidence from the effective implementation (case 'D'), the initially effective implementation (case 'C') and the two ineffective implementations as they all provided some evidence of tailored implementation plans in elements of the framework. This research found no evidence to support an argument for a prescriptive implementation framework.

The theoretical framework was revisited in light of the findings from the case studies. As a result, some amendments were made to the framework and degrees of emphasis were placed on the issues contained within it (figure 7.1). The red boxes emphasise the essential issues to be addressed in implementation and the blue boxes are the desirable issues to be addressed. The issues that were in the theoretical framework derived from the literature but did not appear to have an impact on the effectiveness of the implementation in the cases have been removed from

the guidance framework. The boxes highlighted with an asterisk (*) contain sub-issues as follows:

Intended uses of the EFQM Model (details in chapter 2):

- Its use as a strategic tool.
- Its use as a means of providing a holistic, broader view of the business.
- Its use as a tool for performance management.
- Its use as a benchmarking tool.
- Its use as a means of integrating other quality and management initiatives and tools.
- Its use in gaining a quality award.
- Its use as a means of motivating staff to get involved in Quality Improvement activities.

Culture/Context assessment (details in chapter 3):

- Management style.
- Individualism.
- The critical nature of staff and academic freedom.
- Professionalism and the nature of Professional Services.
- Co-operation and support.
- Recognition and rewards.
- The overall "academic culture" of an organisation.
- The language and terminology of the EFQM Excellence Model and whether it should be changed to suit the culture of Universities.

Project Management (details in chapter 3):

- Steering Committee.
- Project manager.
- Project champion.
- Project consultant.
- Project activities plan.
- Project progress monitoring.
- Project resources allocation.
- Project pilot.

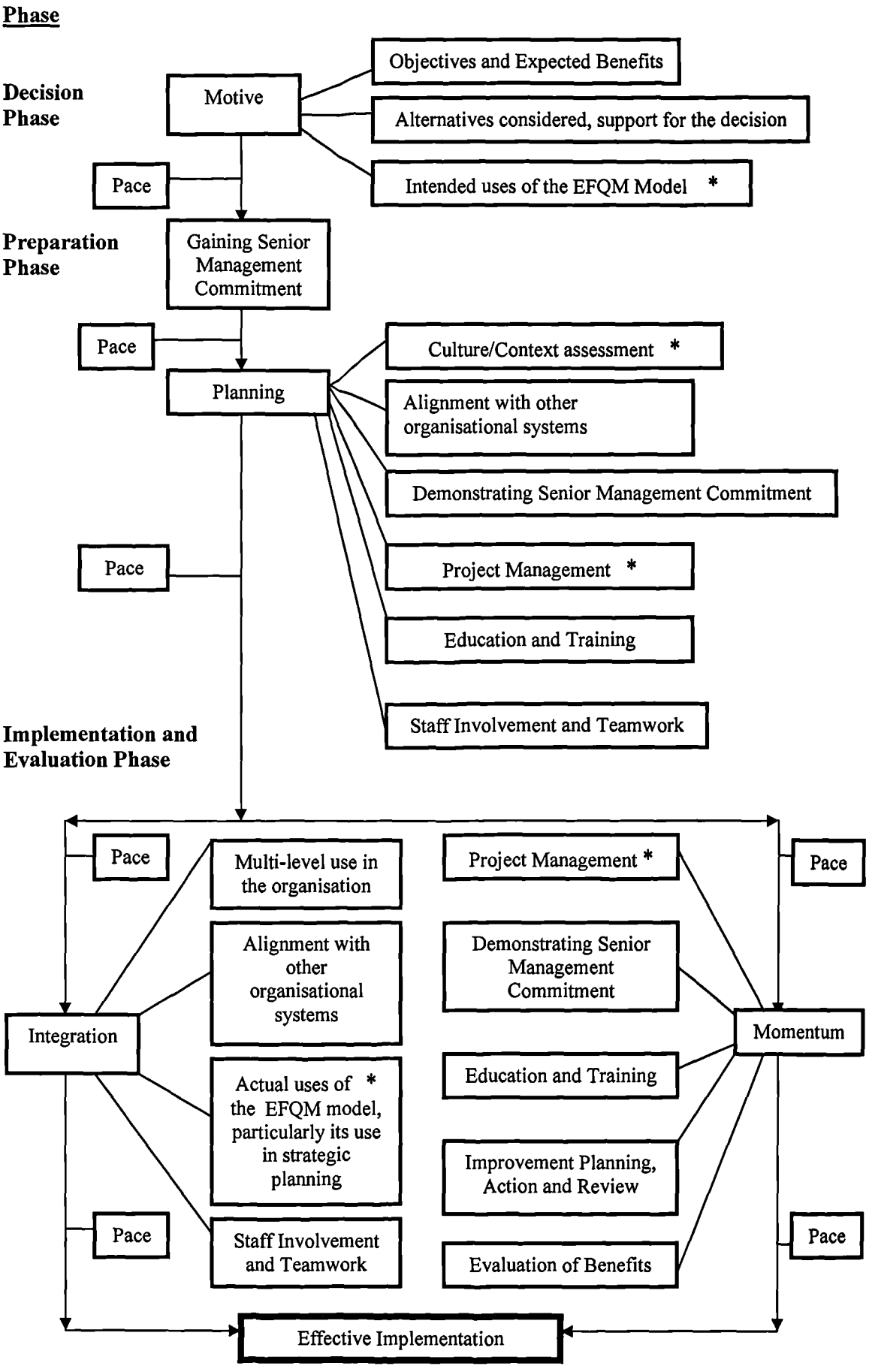

Figure 7.1: Guidance framework for EFQM Excellence Model implementation in UK University academic units

7.4 Discussion on the conduct of the Research and the Research Methodology

The choice of research strategy was justified in 5.1 and the author decided that the most suitable strategy was the case study strategy. Case study research can answer *how* and *why* questions, particularly where phenomena are being studied within a context (Yin, 1994; Stake, 1994; Hussey & Hussey, 1997; Bardoel & Sohal, 1999; Leonard & McAdam, 2002a). The research was successful in answering the *how* and *why* questions posed in the purpose, aim and objectives of the research through the application of the detailed research design. Thus the author would argue that the choice of research strategy was appropriate.

The choice of appropriate case studies was explained in section 5.2.1.3. The author decided to investigate multiple cases. According to Herriot & Firestone (see Yin 1994, p.45), the evidence from multiple cases is often considered more compelling, and the overall study is therefore regarded as being more robust. This was balanced against the view of Cresswell (1998) who pointed out the likelihood that as the number of case studies increases, the depth of investigation in each case would decrease. Hussey & Hussey (1997) support the views of Yin (1994) and state that similar cases will help to show if the theory can be generalised and dissimilar cases will help to extend or modify any theory. The author selected four cases. From preliminary research, two of these were expected to have been effective and two ineffective. This was done in order that there would be similar and dissimilar cases to enable both generalisation from the theory and modification of the theory. Once the detailed research had been carried out it was discovered that the two expected ineffective cases had indeed been ineffective, however only one of the expected effective cases was really effective with the other one being only partly effective. The author still felt that the cases provided a basis for generalisation (i.e. for explaining the reasons for the effectiveness or not of the implementations) and for modification of the theory, (i.e. the changes to the theoretical framework to produce the guidance framework for EFQM Excellence Model in UK University academic units, which is shown in figure 7.1). The author felt confident to do this as the research still provided similar and dissimilar cases. Even with four cases the author was still able to research in sufficient depth to reveal the reasons for the level of effectiveness in each case.

Multiple sources of evidence were selected in order to triangulate the data. The sources (four interviews, documents, archival records and participant observation (in one case)) meant that it was possible to corroborate facts and gain a range of insights to the phenomenon of implementation. Although it would have been possible to interview more staff in each case, the author is confident that sufficient sources of evidence were accessed to provide construct validity. The only area in which there was great variance in the responses from interviewees was when questions were asked to get the interviewees to express their personal views on aspects of

the implementation, e.g. the degree of senior management commitment. There was a good degree of agreement on factual aspects of the implementation process.

Much time and effort was spent developing the data collection methods and instruments, and methods of data analysis. This ensured that a chain of evidence was maintained from the original research question through to the ultimate conclusions of the study as recommended by Yin (1994). The main vehicle for providing this was the theoretical framework. This approach helped to provide construct validity.

The data collection instruments (the document used to gather the background to the case study organisation, the structured interview and the protocols, which comprised of the notes to the project managers and interviewees on the research process and procedures) were reviewed by the author's PhD supervisor and piloted with Professor Philip Sullivan of De Montfort University. This provided a substantive check on the content of the interview questions (as Professor Sullivan has much experience in the implementation of the EFQM Excellence Model in Higher Education) in addition to covering methodological issues in the protocols and interview questions (Yin, 1994). This pre-test approach had been used by Samuelsson & Nilsson (2002) when researching self-assessment practices in large organisations and their data collection instrument was pre-tested on persons with great experience of self-assessment. This approach proved to be very useful and the outcome of this pilot was that one substantive element was added to the structured interview (the culture of support in section 3.3.3.7 in the structured interview, appendix 5) and some very minor changes to the wording of some questions were made to aid clarity. Unfortunately, because of Professor Sullivan's busy schedule, it was not possible to do this in person. Instead this was done by email which prevented the author from gaining an estimate of the likely time to conduct the structured interview. The author estimated from previous experience that it would take around two hours to complete each interview and the author's PhD supervisor expressed his concern that potential interviewees might be reluctant to agree to such an extended interview. The author noted this concern and made sure that potential interviewees were fully aware of the likely time needed for the interview. In doing this, the author avoided any situations in which the interviewees rushed their responses to fit in with unrealistic time estimates. Overall, the feedback from Professor Sullivan gave the author confidence that both the substance of the data gathering instruments and the methodology to be employed in data gathering were well-designed as the suggested amendments were minimal. On reflection it might have been better to have piloted the data collection instruments with more staff in Professor Sullivan's organisation in order to have gained a wider variety of views.

Each interviewee received a copy of the *notes for interviewees* (appendix 4) several weeks before the interview in order that they were informed of the research protocol. This proved to be very useful as the author was able to optimise his time at the case study organisations conducting interviews and reviewing documentary evidence rather than explaining the aim of the research and the background.

The interviews went ahead as scheduled and went smoothly with very little need for the author to further explain the interview questions. The author used his discretion to probe the interviewees' responses and further pursue lines of enquiry as appropriate. Unfortunately some of the interviewees didn't have their last three years' diaries available to confirm key dates in the implementation process, however a combination of the diaries that were available and other documents enabled the author to identify the vast majority of key dates in each case and make informed estimates of others. The chosen interviewees were able to offer insights into most of the elements of the implementation process, however it was discovered in one case (case 'C') that a particular element (the operation of improvement groups) had caused particular difficulties. Although all four interviewees had been involved in the improvement groups, it would have been interesting to have gained a wider variety of views on the reasons for this and this has therefore been carried forward into the recommendations for further related research (section 7.7).

The interviews were typed up by the author and emailed to the interviewees for verification. Most interview records were verified promptly whilst some interviewees needed a gentle reminder to verify them. Of the sixteen interviews the author managed to gain positive verification of fifteen. The author requested positive verification of the sixteenth interview on many occasions without success and had to resort to suggesting to the interviewee that the author would have to presume that, in the absence of any feedback, a lack of response would be seen as verification.

7.5 Limitations of the Research

The author has demonstrated the care taken in the design and conduct of this research in chapter 4. Nevertheless, every piece of research has its limitations and it is important to consider these as the limitations have the potential to impact on the conclusions that can be drawn.

The first limitation was the limited number of potential case study organisations. From the author's knowledge of the sector, only a small number of UK University academic units had attempted to implement the EFQM Excellence Model. The author decided to only include the organisations that had been involved with the two HEFCE funded Consortia within the scope of the research. By doing this, the cases had all had 3 years available to them to progress their

implementations and funds available to resource the project. Of the four cases that were investigated, only one was seen to have effectively implemented the EFQM Excellence Model. As the purpose of the study was to construct a guidance framework for EFQM Excellence Model in UK University academic units, this limited the extent to which the framework could benefit from the learning developed from effective cases. Fortunately, learning from the three other cases was used to inform the development of the framework to help to overcome this limitation. The second limitation was the number of potential interviewees in each of the case study organisations. This number was limited because few staff had been involved sufficiently in the implementation process to be able to answer the detailed interview questions. Some of the interviewees had played multiple roles in the implementation and therefore had multiple perspectives on the implementation process, which helped to alleviate this limitation. It was not possible to interview staff from lower levels in the hierarchy of the case study organisations as they had had insufficient involvement in the implementation processes to offer informed views. The third limitation was the memories of the interviewees. As the implementation process took place over a three-year period, some of the interviewees' recollections of some of the events weren't clear. The impact of this limitation was restricted by interviewing four people in each case, asking them to refer to their diaries (where available) and by reviewing documentary evidence. Another approach to this issue would have been to have carried out a longitudinal study over the three-year implementation period, however this was not feasible within the time constraints of a PhD. The fourth limitation was the amount of documentation that was accessible in each of the cases. Fortunately the project managers in each of the cases had kept project files, which contained a good deal of information. Despite this there were some activities in the cases for which there was no appropriate documentary evidence available and the author had to rely on the information gathered from the interviewees.

7.6 Operational Recommendations

It is clear from the fact that in only one of the four cases of attempted implementation examined was implementation really effective, that there were areas within the implementation processes that could have been improved on in the case study organisations. Therefore recommendations for how the implementation process might have been improved have been produced for each case. The guidance framework (figure 7.1) was used to develop these recommendations. These might be helpful to the organisations involved in the event that they were to choose to attempt to implement the EFQM Excellence Model in other parts of their Universities.

7.6.1 Case 'A'

In case 'A' a strong motive for using the EFQM Excellence Model needed to be developed. This would have helped in gaining senior management commitment to the implementation. In this case more consideration of the culture/context was required along with consideration of how the

use of the EFQM Model would be aligned with other organisational systems. Planning of how senior management commitment would be demonstrated and planning for the education and training required needed to be carried out.

Through the progress monitoring function that was in place, progress checks needed to be made to ensure that education and training took place and that this was followed by self-assessment, improvement planning, action and review. The project monitoring also needed to ensure that senior management commitment was being demonstrated, that staff were being involved in teams, that the use of the EFQM Model was being aligned with other organisational systems, that the benefits of using the EFQM Model were evaluated and that the pace of the implementation was maintained. These actions would have ensured that momentum was maintained whilst simultaneously integrating the use of the EFQM Model into the organisation.

7.6.2 Case 'B'

In this case there was a strong motive for using the EFQM Model and senior management commitment was gained initially, but this was quickly lost when the Faculty pushed the implementation down to a pilot school. This was compounded over time by a significant number of changes in the senior management group. If implementation had started at the Faculty level (the level at which the commitment had been gained), then it might have been possible to gain some initial momentum in the implementation. From that point in the implementation process, the organisation needed to address all the remaining issues contained within the guidance framework (figure 7.1).

7.6.3 Case 'C'

In this case consideration needed to be given in the planning stage as to how the use of the EFQM Model would be aligned with other organisational systems and this alignment needed to be monitored by an improved project monitoring function to ensure integration of the EFQM Model into the organisation. The progress of and support for the improvement groups needed to be improved to ensure that benefits were accrued and momentum was not lost. A second round of self-assessment should have been planned. A replacement for the project manager should have been appointed.

7.6.4 Case 'D'

As the implementation was effective in this case, few operational recommendations are offered. The implementation did not succeed in involving significant numbers of staff, therefore the recommendation in this case is to set up self-assessment teams and improvement groups on a wider basis within the schools in the Faculty in order to get more widespread involvement. This would require further education and training.

7.7 Recommendations for Further Related Research

A number of interesting areas for further related research emerged from this thesis:

- Research into other cases of the implementation of the EFQM Excellence Model in UK University academic units as they appear in order to further develop the guidance framework produced from this research. This could possibly be done by actually using the guidance framework in an organisation and then evaluating its use.
- Research into the implementation of the EFQM Excellence Model in non-academic units of UK Universities to see if the implementation issues are the same or different.
- Research into the views of a wider range of staff in each of the case studies on the type of culture in their University academic units. This research was not designed to gather the views of a wide range of staff in each case study, just those staff who were closely involved with the implementation process. Particularly, it was designed to find out if they had attempted to assess the cultural aspects as part of their preparations for implementation.
- Research into the implementation of the EFQM Excellence Model in the Higher Education Colleges that were part of the HEFCE Consortia. These were deliberately left out of this study as its focus was on University academic units.
- Research into the implementation of the EFQM Excellence Model in University academic units in other European countries, paying particular attention to the cultural and contextual issues.
- Research into the implementation of other initiatives in United Kingdom University academic units by exchanging the EFQM Model specific issues contained within the theoretical framework of this study for appropriate issues that are relevant to the initiative being implemented. This would help to develop the understanding of the cultural/contextual issues in implementation in UK Universities.
- Research into the implementation of the EFQM Excellence Model in other areas of the public sector by exchanging the cultural/contextual issues contained within the theoretical framework of this study for appropriate issues that are relevant to the context and culture in which the EFQM Model is being implemented.
- A more detailed investigation into what occurred in the improvement groups in case 'C' as the failure of these to make a significant impact played a role in the overall implementation losing momentum and eventually stopping.
- Research into how the use of the EFQM Excellence Model can be sustained over time once an initial implementation has been effective. All four case study organisations made a start in using the EFQM Model, however only one of the four is currently using it three and a half years after the start of the HEFCE projects.
- A comparison of mandatory approaches to the management of quality in UK Universities, e.g. QAA, with voluntary approaches such as the EFQM Excellence Model.

7.8 Contributions of the Research

The intention of this study was to contribute to the body of knowledge on the implementation of the EFQM Excellence Model in the UK Higher Education sector by attempting to bridge the gap between existing theories, knowledge and approaches of EFQM Excellence Model implementation and that required for guiding effective implementation in UK university academic units. Particularly the main contribution was a guidance framework for implementing the EFQM Excellence Model in academic units of UK universities (figure 7.1). There is now an abundance of literature on the EFQM Excellence Model, some of which addresses implementation. The majority of case studies in the literature deal with private sector organisations, fewer with public sector organisations, even fewer with UK HE and fewer still (almost none) with UK university academic units. It is this gap in knowledge that this thesis was designed to address. From an application standpoint it is hoped that the framework will

contribute to increasing the degree of effectiveness in implementation of the EFQM Excellence Model within this sector.

Thiagaragan et al (2001, p.290) identified that the literature is full of *"everything you need to know about TQM implementation"*, but most of the information is based on personal experiences and anecdotal evidence. According to Dean & Bowen (see Thiagaragan et al 2001, p.291) leaders question the lack of empirically sound models to assist in effective quality management. Therefore another contribution of this research is in the realm of empirically sound Total Quality implementation models.

This research has made a contribution to knowledge in the area of implementation in general, as it has added weight to issues in implementation that are clearly generic and provided doubt of the significance in implementation of other issues, such as the use of change models to manage change and whether communication plays a major role.

The important difference between *gaining* senior management commitment and *demonstrating* senior management commitment in implementation has been highlighted. In the current literature these are usually considered as a single issue.

Another contribution of this research is the production of four detailed case studies of attempted EFQM Excellence Model implementation in UK University academic units.

The research has contributed to the knowledge of the uses of the EFQM Excellence Model and particularly its use in strategic planning.

This research has contributed an analysis and synthesis of the literature in the multi-disciplinary area of implementation.

A further contribution is a synthesis of the cultural issues that impact on implementation within the University academic context.

7.9 Chapter Summary

In this chapter the findings of the fieldwork which emerged from the data analysis in the previous chapter were discussed by making comparisons and contrasts with the literature. Thus the objective: *To assess the effectiveness of the implementation of the EFQM Excellence Model in the case study organisations* was addressed. In order to conduct the discussion systematically the theoretical framework, which was developed from the literature reviews and was used to facilitate the program logic approach to data analysis in the previous chapter, was used to

structure the major part of the discussion. Ultimately this discussion surfaced the implementation issues that were essential to effective implementation of the EFQM Excellence Model in UK University academic units, those that were desirable and those that appeared to have no impact. An alternate categorization showed that generic implementation issues had the most impact on effective implementation with EFQM Excellence Model and context specific issues having relatively less impact on the effectiveness of implementation. The theoretical framework presented as figure 4.2 was revised in light of the discussion and presented as figure 7.1 the guidance framework for EFQM Excellence Model implementation in UK University academic units. This then fulfilled the general purpose of the study that was described in chapter 1: *To construct a guidance framework for EFQM Excellence in UK University academic units.* The limitations of the research, operational recommendations, recommendations for further related research and the contributions of the research were presented.

CHAPTER 8

CONCLUSIONS

8.0 Chapter Introduction

In the final chapter of this thesis, the conclusions will be drawn. Particularly this will include revisiting the original aim, objectives and purpose of this research, and the research questions. The recommendations for further related research will be summarised.

8.1 Conclusions

In drawing the conclusions to this research it is important to reflect on the aim, objectives and purpose of this research, which was described in chapter one. The objectives of the research were designed to support the aim, which in turn was designed to fulfill the purpose. Therefore they will be considered in this order.

The first objective was to identify the issues that impact on the implementation of the European Foundation for Quality Management's (EFQM) Excellence Model in the UK University academic environment based on knowledge of the model's implementation in other sectors, knowledge of the UK University sector and on established good practice in implementing similar quality programmes, such as Total Quality Management (TQM). This provided an answer to the secondary research question: *What are the issues that impact on the implementation of the European Foundation for Quality Management's (EFQM) Excellence Model in the UK University academic environment?*

These issues were identified through a comprehensive literature review (chapters 2 and 3) and were summarised in 4.1.1 and 4.1.2. The issues summarised in 4.1.1 and 4.1.2 were then placed into a theoretical framework (Figure 4.2) in order that the relationship between the issues that had been identified could be conceptualised.

The second objective was to assess the effectiveness of the implementation of the EFQM Excellence Model in the case study organisations, i.e. in which ways had the use of the EFQM Excellence Model become part of the normal management activities of the institutions involved? In order to assess the effectiveness of the implementation the possible uses of the EFQM Excellence Model were identified in the literature (chapter 2) and summarised in section 2.5. This provided an answer to the secondary research question: *What are the possible uses of the EFQM Excellence Model?*

The effectiveness of the implementation of the EFQM Excellence Model in the case study organisations was assessed using the description of levels used by PriceWaterhouseCoopers (2000) in their research, which evaluated the Public Sector Excellence Programme. This tool had already been used to assess the level of implementation in over 800 public service organisations and consisted of three levels, *entry level, maturing level* and *advanced level* (see

Table 5.4). The author decided to ask the interviewees to estimate their level of EFQM implementation in half levels in order to make comparisons between the different interviewees' views in each case more accurate. This was left to the end of the interview as the author thought that the accuracy of the responses would be increased by the interviewee having just been taken through the elements of the implementation in the rest of the interview. In the data analysis (chapter 6), the author then used his detailed knowledge of each case to corroborate the views of the interviewees. In the discussion chapter (chapter 7, section 7.2.4) the definition of effective implementation, which was developed in chapter 1 section 1.4 was used as another means of discussing and deciding on whether implementation had been effective in each of the cases. The effectiveness of implementation in each case was concluded to have been as follows:

- The implementation in case 'A' had been ineffective.
- The implementation in case 'B' had been ineffective.
- The implementation in case 'C' had initially appeared to be effective but ultimately had been ineffective.
- The implementation in case 'D' had been effective.

The third objective was to explore and analyse the approaches used in implementation of the EFQM Excellence Model in a number of UK University case studies in order to discover the critical issues for effective implementation. This provided an answer to the secondary research question: *How was implementation of the EFQM Excellence Model attempted in a number of UK University case studies?* This objective was pursued via the identification, selection and conduct of four case studies. The issues explored in the case studies were devised from the theoretical framework (figure 4.2). The theoretical framework was also the primary tool for analysis of the case study data. This analysis (chapter 6) and the comparison with the literature (chapter 7) identified the issues that appeared to be critical for successful implementation. The following issues were seen to be essential to effective implementation in that the absence of one or more of them in a case led to ineffective implementation and the presence of all of them in a case led to effective implementation (from chapter 7):

- A clear motive, particularly setting out clear expected benefits and objectives.
- Gaining senior management commitment.
- Demonstrating senior management commitment.
- Education and training
- Staff involvement and teamwork.
- The overall pace of the implementation
- Integration of the EFQM Excellence Model into the organisation.
- Activities to maintain momentum.

The fourth objective was to explain why the implementation of the EFQM Excellence Model was effective or ineffective in a number of cases in UK University academic units by reference to the theoretical framework. This provided an answer to the secondary research question: *Why*

was the implementation of the EFQM Excellence Model effective or ineffective in a number of cases in UK University academic units? This objective was achieved by comparing and contrasting the results from each case study with the elements of the theoretical framework. The detailed explanations are contained in chapter 6.

The aim of this research was to examine how the EFQM Excellence Model implementation process had been conducted in a number of cases in UK University academic units with a view to developing a guidance framework for implementation of the EFQM Excellence Model in this particular context. This was to be drawn from the successes and difficulties identified in the case studies and the existing literature on the implementation of the EFQM Excellence Model and other Total Quality Management (TQM) approaches in other contexts. This aim was achieved through the pursuit and achievement of the four objectives discussed above. It was concluded that a number of issues contained in the theoretical framework were seen to be essential to effective implementation (listed above) and that two issues were desirable in effective implementation (culture/context assessment and project management). Some issues that were contained within the theoretical framework did not appear to have an impact on the effectiveness of the implementations. The first of these was the assessment of resistance to change via change models, the second issue was communication planning and communication during the implementation process and the third issue was the planning and use of recognition and rewards. In addition, the EFQM Model specific choices did not appear to have any major bearing on the effectiveness of the implementation. The choice of self-assessment approach did not appear to influence the outcome and the two cases in which implementation had been at least initially effective included one in which scoring was used and one in which it was not.

The implementation issues were placed into three categories; generic issues that could apply in any implementation process; context specific issues, which only apply in the UK university academic unit context, and issues that were specific to the implementation of the EFQM Excellence Model. In terms of the impact on the effectiveness of the implementation, it was concluded that the major impact came from generic issues with some impact from EFQM Excellence Model specific and context specific issues.

The aim of the research then linked through to the purpose of the research, which was to construct a guidance framework for EFQM Excellence Model implementation that could be used in UK University academic units. The theoretical framework was revisited in light of the findings of the research. As a result, some amendments were made to the framework and degrees of emphasis were placed on the issues contained within it in order to produce a guidance framework for EFQM Excellence Model implementation in UK University academic

units (figure 7.1). This formed the major contribution to knowledge from this research. The other contributions are described in section 7.8.

Ultimately then the primary research question posed in chapter one (*How can the EFQM Excellence Model be effectively implemented in United Kingdom University academic units?*) has been answered. One answer to the research question could be *with great difficulty,* as only one of the four (25 per cent) attempted implementations turned out to be effective. Harari (see Sousa-Poza et al 2001, p.745) postulates that only 20 per cent of companies that implement TQM do so successfully. Yandrick (see Sousa-Poza et al 2001, p.745) is more positive and claims that about two-thirds are successful. This research suggests that Harari's postulation was the more accurate. Spector & Beer (1994, p.63) discuss the dichotomy they have found between the overwhelming support expressed in organisations for TQM principles coupled with overwhelming failure in implementation. They contend that this suggests that organisations need to become more expert at implementing the *"sweeping organisational transformation that lies at the core of TQM".* Roger et al (see Chin & Pun 2002, p.273) argue that one of the main reasons for the failure of TQM can be attributed to implementation problems. This research supports this argument for organisations becoming more expert in implementation in order to prevent and avoid implementation problems.

The detailed answer to the research question is that the EFQM Excellence Model can be effectively implemented in United Kingdom University academic units by having a strong motive for using the EFQM Excellence Model, preparing for implementation by gaining senior management commitment and planning. Within planning a number of sub-issues should be considered. There should be an assessment of the culture/context and consideration of how the EFQM Excellence Model will be aligned with other organisational systems. There should be consideration of how senior management commitment will be demonstrated, arrangements for project management should be put in place, education and training should be planned and consideration should be given to how staff will be involved in teams in the implementation. Once implementation has started, actions should occur in parallel to both integrate the use of the EFQM Excellence Model into the organisation and to produce momentum. The whole process should happen at a good pace, without extended periods of inactivity, in order to ensure that momentum is not lost.

8.2 Recommendations for Further Related Research (Summary)

- Research into other cases of the implementation of the EFQM Excellence Model in UK University academic units as they appear.
- Research into the implementation of the EFQM Excellence Model in non-academic units of UK Universities.
- Research into the views of a wider range of staff in each of the case studies on the type of culture in their University academic units.

- Research into the implementation of the EFQM Excellence Model in the Higher Education Colleges that were part of the HEFCE Consortia.
- Research into the implementation of the EFQM Excellence Model in University academic units in other European countries.
- Research into the implementation of other initiatives in United Kingdom University academic units by exchanging the EFQM Model specific issues contained within the theoretical framework of this study for appropriate issues that are relevant to the initiative being implemented.
- Research into the implementation of the EFQM Excellence Model in other areas of the public sector by exchanging the cultural/contextual issues contained within the theoretical framework of this study for appropriate issues that are relevant to the context and culture in which the EFQM Model is being implemented.
- A more detailed investigation into what occurred in the improvement groups in case 'C'.
- Research into how the use of the EFQM Excellence Model can be sustained over time once an initial implementation has been effective.
- A comparison of mandatory approaches to the management of quality in UK Universities, e.g. QAA, with voluntary approaches such as the EFQM Excellence Model.

APPENDICES

Appendix 1

EFQM EXCELLENCE MODEL CRITERIA

Criterion 1, Leadership

Definition
Excellent Leaders develop and facilitate the achievement of the mission and vision. They develop organisational values and systems required for sustainable success and implement these via their actions and behaviours. During periods of change they retain a constancy of purpose. Where required, such leaders are able to change the direction of the organisation and inspire others to follow.

Sub-criteria
Leadership covers the following five criterion parts that should be addressed.
1a. Leaders develop the mission, vision, values and ethics and are role models of a culture of Excellence.
1b. Leaders are personally involved in ensuring the organisation's management system is developed, implemented and continuously improved.
1c. Leaders interact with customers, partners and representatives of society.
1d. Leaders reinforce a culture of excellence with the organisation's people.
1e. Leaders identify and champion organisational change.

Criterion 2, Policy and Strategy

Definition
Excellent Organisations implement their mission and vision by developing a stakeholder focused strategy that takes account of the market and sector in which it operates. Policies, plans, objectives, and processes are developed and deployed to deliver the strategy.

Sub-criteria
Policy and Strategy cover the following four criterion parts that should be addressed.
2a. Policy and Strategy are based on the present and future needs and expectations of stakeholders.
2b. Policy and Strategy are based on information from performance measurement, research, learning and external related activities.
2c. Policy and Strategy are developed, reviewed and updated.
2d. Policy and Strategy are communicated and deployed through a framework of key processes.

Criterion 3, People

Definition
Excellent organisations manage, develop and release the full potential of their people at an individual, team-based and organisational level. They promote fairness and equality and involve and empower their people. They care for, communicate, reward and recognise, in a way that motivates staff and builds commitment to using their skills and knowledge for the benefit of the organisation.

Sub-criteria
People cover the following five criterion parts that should be addressed.
3a. People resources are planned, managed and improved.
3b People's knowledge and competencies are identified, developed and sustained.
3c People are involved and empowered.
3d People and the organisation have a dialogue.
3e People are rewarded, recognised and cared for.

Criterion 4, Partnerships and Resources

Definition
Excellent organisations plan and manage external partnerships, suppliers and internal resources in order to support policy and strategy and the effective operation of processes. During planning and whilst managing partnerships and resources they balance the current and future needs of the organisation, the community and the environment.

Sub-criteria
Partnerships and Resources cover the following five criterion parts that should be addressed.
4a. External partnerships are managed.
4b. Finances are managed.
4c. Buildings, equipment and materials are managed.
4d. Technology is managed.
4e. Information and knowledge are managed.

Criterion 5, Processes

Definition
Excellent organisation's design, manage and improve processes in order to fully satisfy, and generate increasing value for, customers and other stakeholders.

Sub-criteria
Processes cover the following five criterion parts that should be addressed.
5a. Processes are systematically designed and managed.
5b. Processes are improved, as needed, using innovation in order to fully satisfy and generate increasing value for customers and other stakeholders.
5c Products and Services are designed and developed based on customer needs and expectations.
5d Products and Services are produced, delivered and serviced.
5e Customer relationships are managed and enhanced.

Criterion 6, Customer Results

Definition
Excellence organisations comprehensively measure and achieve outstanding results with respect to their customers.
Sub-criteria
Customer Results cover the following two criterion parts that should be addressed.
6a. Perception Measures.
6b. Performance Indicators.

Criterion 7. People Results

Definition
Excellent organisations comprehensively measure and achieve outstanding results with respect to their people.

Sub-criteria
People Results cover the following two criterion parts that should be addressed.
7a. Perception Measures.
7b. Performance Indicators.

Criterion 8, Society Results

Definition
Excellent organisations comprehensively measure and achieve outstanding results with respect to society.

Sub-criteria
Society Results cover the following two criterion parts that should be addressed.
8a Perception Measures.
8b. Performance Indicators.

Criterion 9, Key Performance Results

Definition
The measures are key results defined by the organisation and agreed in their policy and strategies.

Sub-criteria
Key Performance Results cover the following two criterion parts that should be addressed. Depending on the purpose and objectives of the organisation some of the measures contained in the guidance for Key Performance Outcomes may be applicable to Key Performance Indicators and vice versa.
9a Key Performance Outcomes.
9b Key Performance Indicators.

Appendix 2 Extracts from example given in EFQM booklet 'Assessing for Excellence. A Practical Guide for Self-Assessment'. (EFQM 1999).

Criterion 1

Leadership

How leaders develop and facilitate the achievement of the mission and vision, develop values required for long-term success and implement these via appropriate actions and behaviours, and are personally involved in ensuring the organisation's management system is developed and implemented.

Sub-criterion 1a

Leaders develop the mission, vision and values and are role models of a culture of Excellence.

Areas to address	**Strengths**
How leaders: • develop and role model ethics and values which support the creation of the organisation's culture • are personally and actively involved in improvement activities • review and improve the effectiveness of their own leadership and act upon future leadership requirements • stimulate and encourage collaboration within the organisation	• The senior management team has developed a management competencies model that supports the organisation's values • Effectiveness of leaders is assessed by employee survey and 360 degree appraisals **Areas for improvement** • Leaders are not personally involved in improvement activities

Evidence

- Competencies model available on organisation's intranet
- Staff survey data from surveys of 1994, 1996 and 1998 appropriately segmented and individual leader's improvement actions included in their appraisement process

Approach	**Deployment**	**Assessment & Review**	**Overall Score**
60%	50%	20%	45%

Appendix 3

Implementation of the EFQM Excellence Model in UK University Academic Units

Data Collection Process in Case Study Organisations
Notes for EFQM Implementation Project Managers

General

Thank you for agreeing to contribute to this PhD research. The intention is to answer the research question:

How can the EFQM Excellence Model be effectively implemented in United Kingdom University Academic Units?

The overall aim of the research is to examine how the EFQM Excellence Model implementation process has been conducted in a number (4) of cases in UK University academic units with a view to developing a framework which will provide guidelines for implementation in this particular context.

As agreed, each of the cases will be made anonymous and no individuals will be identified directly or indirectly. This design was chosen to ensure that those taking part in the research would be at ease in providing what, potentially, could be sensitive information. This will help increase the validity and reliability of the data collected.

The data collection will be made up of three elements:

1. General Background to the case study organisation.
2. Interviews with staff involved in the EFQM Excellence Model implementation process.
3. Examination of documents relevant to the process of implementation.

1. General Background to the Case Study Organisation

Please find attached a pro-forma entitled *Case Study Organisation - Background.* It would be most useful if you could collect the information for this and fill it in, in advance of my visit to your organisation. This will help to provide a context for the implementation.

2. Interviews with staff involved in the EFQM Excellence Model implementation process

I will interview 4 individuals (the project manager and three others) in each case study organisation. This is because there are only a few individuals in each organisation who might know the *hows* and *whys* of the implementation process that has taken place. I estimate that each interview will take approximately two hours and we would need a room to conduct the interviews in which would be free of interruptions from other staff or telephone calls.

The interviews will be structured (based on a theoretical framework derived from literature) to ensure all major issues are covered and it would be very useful if each interviewee had to hand their **personal diaries** for the period of the implementation process during the interviews, to confirm important dates and events in the implementation process.

The interviewer will make notes of the interviewees' responses and the interview will also be tape recorded (with your agreement) to enable the interviewer to confirm the main points of the interviewees' responses when writing up the interview. It is not the intention to write up a word-for-word transcription of the interview but to capture and check the main points made.

A draft of the responses from each interviewee will be sent back to the individual to verify the detail and thus ensure that accurate responses are collected.

The tape recordings will only be accessed by the researcher for checking purposes and will be kept in a secure place. As previously stated, the individuals will not be identified in the responses.

3. Examination of documents relevant to the implementation process

In order to triangulate data collected in the interviews it is necessary for me to access documents that could provide important information about the implementation process. This will significantly improve the rigour of the research, which is vital for a PhD thesis. Therefore I would appreciate it if you could prepare copies of any documents that you might have that are relevant to the implementation process in advance of my visit so that I could then take them away with me. This would enable me to examine them away from your organisation so as not to take up too much of your valuable time. **I assure you that the documents will not be made available to any other person and will be kept in a secure place.**

The sorts of documents that might be relevant are:

- Letters, memoranda
- Agendas, minutes
- Reports
- Progress reports, Project plans
- Strategic & Business Plans (If the EFQM Excellence Model has been used to help develop these)
- Self-Assessment Reports
- Improvement Planning action and review documents
- Evaluation documents for the HEFCE GMP project
- Newsletters
- Presentations
- Any other documents you consider would provide information on the implementation process

Appendix 4

Implementation of the EFQM Excellence Model in UK University Academic Units

Data Collection Process in Case Study Organisations
Notes for Interviewees

General

Thank you for agreeing to contribute to this PhD research. The intention is to answer the research question:

How can the EFQM Excellence Model be effectively implemented in United Kingdom University Academic Units?

The overall aim of the research is to examine how the EFQM Excellence Model implementation process has been conducted in a number (4) of cases in UK University academic units with a view to developing a framework which will provide guidelines for implementation in this particular context.

As agreed, each of the cases will be made anonymous and no individuals will be identified directly or indirectly. This design was chosen to ensure that those taking part in the research would be at ease in providing what, potentially, could be sensitive information. This will help increase the validity and reliability of the data collected.

The data collection will be made up of three elements:

1. General Background to the case study organisation.
2. Interviews with staff involved in the EFQM Excellence Model implementation process.
3. Examination of documents relevant to the process of implementation.

Information and documents for 1 and 3 above will be supplied by the EFQM Implementation Project Manager in your organisation. Below are some notes for your attention, which are relevant to the interviews.

Interviews with staff involved in the EFQM Excellence Model implementation process

I will interview 4 individuals (the project manager and three others) in each case study organisation. This is because there are only a few individuals in each organisation who might know the *hows* and *whys* of the implementation process that has taken place. I estimate that each interview will take approximately two hours and we would need a room to conduct the interviews in which would be free of interruptions from other staff or telephone calls.

The interviews will be structured (based on a theoretical framework derived from literature) to ensure all major issues are covered and it would be very useful if each interviewee had to hand their **personal diaries** for the period of the implementation process during the interviews, to confirm important dates and events in the implementation process.

The interviewer will make notes of the interviewees' responses and the interview will also be tape recorded (with your agreement) to enable the interviewer to confirm the main points of the interviewees' responses when writing up the interview. It is not the intention to write up a word-for-word transcription of the interview but to capture and check the main points made.

A draft of the responses from each interviewee will be sent back to the individual to verify the detail and thus ensure that accurate responses are collected..

The tape recordings will only be accessed by the researcher for checking purposes and will be kept in a secure place. As previously stated, the individuals will not be identified in the responses.

Appendix 5

EFQM IMPLEMENTATION INTERVIEW QUESTIONS

Person Interviewed:
Case Study Organisation:
Position:
Date:

1. INITIAL DECISION

1.1 When was the EFQM Excellence Model first **considered**?

1.2 Were any **alternatives** considered?

1.3 When was the **decision** made to use the EFQM Excellence Model?

1.3.1 **Who** made this decision?

1.3.2 Was this decision **fully supported** by the decision-making group?

1.4 What was/were the **motive(s)** for using the EFQM Model?

1.5 What were the **intended uses** of the EFQM Excellence Model?

- Self-assessment framework to aid improvement
- Strategic Tool
- To provide a holistic, broader view of the business
- Performance Management Tool
- Benchmarking Tool
- A means of integrating other quality and management initiatives and tools
- A means of gaining a quality award
- To motivate staff to get involved in quality improvement activities
- Other (please specify)

1.6 What were the **expected benefits** of using the EFQM Excellence Model? (Were clear objectives set?)

1.7 What were the **expected timescales** in which the benefits would be accrued?

2. GAINING SENIOR MANAGEMENT COMMITMENT

2.1 Which **actions** were taken to gain senior management commitment?

2.2 **When** were these actions taken?

2.3 **Who** did this?

2.4 **To what extent** do you think senior management commitment was gained?

1	2	3	4	5	6	7
None						Full

3. PREPARATION

3.1 Were any **change models** considered for use during the implementation? (e.g. force field analysis)
Yes /No

3.1.1 If so, how were they used and when?

3.1.2 If so, why were they used?

3.2 Were the **motive and objectives** in using the EFQM Excellence Model communicated to staff? **Yes / No**

3.2.1 If so, how and when?

3.3 Culture/Context

3.3.1 Was there an attempt to assess the **organisational culture**? **Yes/No**

3.3.2 If so, how and when?

3.3.3 Were any of the following aspects of culture/context taken into consideration in the preparation?

3.3.3.1 **Management Style**? **Yes / No**
If yes, which issues were considered?
How would you assess the management style?

1	2	3	4	5	6	7
Collegial						Managerial

3.3.3.2 **Individualism** of academic staff? **Yes /No**
If yes, which issues were considered?
How would you assess the level of academic staff individualism?

1	2	3	4	5	6	7
Individual						Teamworking

3.3.3.3 **Professional nature** of academic staff? **Yes / No**
If yes, which issues were considered?
To what extent do you think that the academic staff see themselves as professionals?

1	2	3	4	5	6	7
Low						High

3.3.3.4 **Academic freedom/critical nature** of academic staff? **Yes /No**
If yes, which issues were considered?
How much academic freedom and criticality do you think the academic staff exercise?

1	2	3	4	5	6	7
Low						High

3.3.3.5 **Recognition/Rewards** for involvement in EFQM implementation?
Yes / No / Not considered
If yes, why and which forms of recognition/rewards were planned?
If no, why not?

3.3.3.6 **Language/Terminology** used in the EFQM Excellence Model?
Was it tailored to suit the culture/context? **Yes / No / Not considered**
If yes, why and what changes were made?
If no, why not?

3.3.3.7 **Department/School/Faculty Culture of Support. Yes / No?**
If yes, which issues were considered?
Which of the points on this scale best describes the culture of support in your Department/School/Faculty?

1	2	3	4	5	6	7
Blame/Fear Unsupportive/Uncooperative						Supportive/Cooperative

3.4 Issues specific to the use of the EFQM Excellence Model

3.4.1 Which **approach to self-assessment** was chosen?

- Questionnaire approach
- Matrix chart approach
- Workshop approach
- Pro-forma approach
- Award simulation approach
- Hybrid approach (please describe)
- Why was this approach chosen?

3.4.2 Was a decision taken on whether to use **scoring** as part of the self-assessment process? **Yes / No / Not considered**
If yes, why?
What were the intended uses of the scores?
If no, why not?

3.4.3 Was a decision taken on whether to amend the **criterion weightings** given in the model? **Yes / No / Not considered**
If yes, why and what were they changed to?
If no, why were they used as in the model?

3.4.4 Was a decision made to use **RADAR logic** in the implementation?
Yes/No/Not considered
If yes, why and how?
If no, why not?

3.5 Demonstrating Senior Management Commitment

What actions were planned in order to demonstrate senior management commitment to the implementation?
Why were these approaches chosen?

3.6 Project Management

3.6.1 Was a **Steering Committee** set up? **Yes / No**
If yes, why, when and who was involved?

3.6.2 Was a **Project Manager** appointed? **Yes / No**
If yes, when?

Did the Project Manager have previous knowledge of or experience with the EFQM Excellence Model?
Did the Project Manager have previous project management experience?
What training did the project manager receive and when?

3.6.3 Was a **project plan** constructed? **Yes/No**
Was the pace of implementation considered in the planning, if so how?
Who was involved in constructing the project plan?
Was the implementation piloted and then rolled out or done across the case study organisation?
Why was this approach chosen?
Which other major initiatives/projects were taking place at the same time as the EFQM Excellence Model implementation?

3.6.4 How was **progress** of the project monitored and by whom?

3.6.5 What **resources** were allocated to the project and when?

3.7 Education and Training
What Education and Training was planned to be carried out to support the implementation?
Why?
Who for?
When?
Who by?
Was an **external consultant** used? **Yes / No**
What was the reason for this choice?

3.8 Communication
What communication was planned about the implementation?
Why?
When?

3.9 Planned involvement in the implementation process and use of the EFQM Excellence Model.
Who?
Why?
How?
Was the use of **teams** considered? **Yes / No**
If yes, why were teams used and how were they deployed?
If no, why weren't teams used?

4 MOMENTUM

4.1 **Improvement Planning, Action and Review after self-assessment**
When was this carried out?
Who by?
How was this carried out?
Why was it done in this way?
Was there any particular emphasis? E.g. quick wins, impact

4.2 **Did the implementation progress on schedule? Yes / No**
If not, why not?
How was momentum regained?
What communication took place to inform staff about progress with implementation?

4.3 Were the expected benefits of using the EFQM Excellence Model achieved? Yes / No
If not, what were the major barriers to achieving these benefits?

4.4 Do you think the pace of implementation was:

- Too slow?
- Too quick?
- About right?

Why do you think this?

4.5 Was Senior Management Commitment maintained throughout the implementation? Yes / No
How was senior management commitment demonstrated during the implementation?
What helped to maintain senior management commitment?
If senior management commitment was not maintained what affected it?
Were there any changes in senior management during the course of the implementation? **Yes / No**
If so, which positions and when?
To what extent do you think senior management commitment was demonstrated during the implementation?

1	2	3	4	5	6	7
None						Full

4.6 Was the planned level of resources maintained during the implementation? Yes / No
If not, what affected this?
If yes, was the level of resources sufficient?

4.7 Was the planned staff training carried out? Yes/No
If not, why not?
What effect did this have on the implementation?

4.8 Was there any recognition of or rewards for staff involved in EFQM implementation?

5 INTEGRATION

5.1 How many organisational levels was the EFQM Excellence Model implemented in?

5.2 How was RADAR logic used in the implementation?

5.3 Was the planned level of staff involvement with the EFQM Model achieved? Yes/No
If not, why not?

5.4 How many rounds of self-assessment have been carried out and when?

5.5 Which of the following has the model actually been used for and how often?

- Self-assessment framework
- Strategic Tool
- To provide a holistic, broader view of the business
- Performance Management Tool
- Benchmarking Tool
- A means of integrating other quality and management initiatives and tools
- A means of gaining a quality award

- To motivate staff to get involved in quality improvement activities
- Other (please specify)

5.6 Was the EFQM Model aligned with other organisational systems? E.g Subject Review, Institutional Audit, Individual Performance Appraisal System, Internal Quality Reviews.

6 GENERAL

6.1 Has anything else that we haven't already discussed helped in the EFQM implementation?

6.2 Has anything else that we haven't already discussed hindered the EFQM implementation?

6.3 How were these hindrances overcome?

6.4 How would you assess your level of EFQM implementation?

Level	Distinguishing features (examples)
Entry Level	• Some knowledge of the concepts of excellence and performance improvement. • Limited awareness of the Excellence Model. • Membership of a regional or national quality foundation. • Some involvement with local and sector networks. • Limited deployment of quality tools within the organisation. • Survey or matrix-based self-assessments have been carried out.
Maturing Level	• Dedicated budgets for the Excellence Model are committed and a number of staff have been trained externally as assessors. • An evidence-based self-assessment has been conducted and a cycle of self-assessment is emerging. • The Excellence Model is partially deployed across the organisation and is partially integrated with planning and improvement processes. • Early examples of organisational improvement are emerging and the organisation is entering or winning regional awards.
Advanced Level	• Senior Managers demonstrate clear leadership and support for the principles of excellence. • A culture of self-assessment and continuous improvement is established. • The organisation has achieved recognition and awards for excellence, nationally and at, or close to, European level. • The Excellence Model is fully deployed and the organisation has integrated it into its planning and improvement processes.

Definitions of different levels of usage of the Excellence Model (PriceWaterhouseCoopers, 2000, p.31).

Appendix 6

CASE STUDY ORGANISATION BACKGROUND

Name of Case Study Organisation:

1. THE UNIVERSITY AS A WHOLE

1.1 SIZE OF UNIVERSITY (CURRENT)

Number of Academic Staff ☐

Number of Support Staff ☐

Number of Students ☐

1.2 UNIVERSITY HISTORY

Year founded:

Predecessors of the University with dates:

1.3 UNIVERSITY ACADEMIC STRUCTURE

E.g. Faculties, Schools, Departments.

Please provide an organisation chart.

1.4 UNIVERSITY GOVERNANCE

Please provide a brief description of the University mechanism of governance, e.g. Senate, Council, Management Committee.

1.5 ACADEMIC MANAGEMENT

Please provide an organisation chart, which shows the academic management posts that exist in the University and shows their relationship to each other (e.g. Deans, Heads, PVCs):

Do Academic Managers (e.g. Heads of School, Deans, Pro-Vice-Chancellors) hold permanent or fixed terms of office? (Delete as appropriate):

Fixed / Permanent

If fixed terms then please describe the length of the terms of office:

1.6 SPLIT OF ACTIVITIES (AS RETURNED TO *HEFCE* TRANSPARENCY REVIEW FOR 2001/2002)

Teaching	%
Research	%
Enterprise, "Reach Out", Commercial	%

2.THE CASE STUDY FACULTY/SCHOOL/DEPARTMENT

2.1 SIZE (CURRENT)

Number of Academic Staff	
Number of Support Staff	
Number of Students	

2.2 HISTORY

Year founded:

Predecessors of the Faculty/School/Department with dates:

2.3 STRUCTURE

Please provide an organisation chart.

2.4 GOVERNANCE

Please provide a brief description of the mechanism of Faculty/School/Department governance:

2.5 ACADEMIC MANAGEMENT

Please provide an organisation chart, which shows the academic management posts that exist in the Faculty/School/Department and shows their relationship to each other (e.g. Deans, Heads, Associate Deans, Associate Heads):

2.6 SPLIT OF ACTIVITIES (AS RETURNED TO *HEFCE* TRANSPARENCY REVIEW FOR 2001/2002)

Teaching	%
Research	%
Enterprise, "Reach Out", Commercial	%

Appendix 7: Case Study 'A' Interview and Document Analysis

Interview Section or Question	Phase or Element of the Theoretical Framework	Interviewee A1 Responses	Interviewee A2 Responses	Interviewee A3 Responses	Interviewee A4 Responses	Documentary Evidence	Pattern emerging/ Summary
1. INITIAL DECISION	• Decision Phase						
1.1 When was the EFQM Excellence Model first considered?	• Pace	Late 1999/early 2000. When the school became aware of the HEFCE funded project	In 2000. It was a HEFCE funded project.	About 5 years ago.	It was brought to the interviewee's attention 2 years ago.		The EFQM Model was first considered in late 1999/early 2000.
1.2 Were any alternatives considered?	• Decision Phase • Motive • Alternatives considered	The interviewee wasn't aware of any.	No.	The interviewee didn't know.	No.		No alternatives were considered.
1.3 When was the decision made to use the EFQM Excellence Model?	• Decision Phase • Pace	In early 2000. The decision was to be involved in the HEFCE funded project, not necessarily to use EFQM.	In early 2000.	About 4 years ago.	The interviewee wasn't sure, it was before his involvement.		The decision to use the EFQM Model was taken in early 2000.
1.3.1 Who made this decision?	• Decision Phase • Motive • Support for the decision	A Professor in Quality Management who was a Head of Department at the time.	The VC and a HoD in the school who had expertise in quality management.	It was agreed by the HoS.	The interviewee wasn't sure. He knew that it was a HEFCE funded initiative. Perhaps the decision was taken by the HoS.		The HoD who was a professor in quality management made this decision.

1.3.2 Was this decision fully supported by the decision-making group?	• Decision Phase • Motive • Support for the decision	The interviewee wasn't sure if the project had been discussed at the school's senior management team. It was seen as a research project.	It wasn't really discussed by the school's SMT.	Yes, by the School's SMT.	It was supported by the HoS.		It is not clear if the decision was supported fully by the school management team. Interviewees A2 and A3 were both members of this but have conflicting memories of the decision.
1.4 What was/were the motive(s) for using the EFQM Model?	• Decision Phase • Motive	Money Involved in something useful and relevant. Image	The VC and the HoD thought the University should be involved in the project.	It was an industry standard (own perspective). There was some familiarity with it in the school. There were some doubts about whether it was applicable in HE.	A belief that it would address/improve the performance of the school.		The motives were mixed and there were doubts about its applicability in HE.
1.5 What were the intended uses of the EFQM Excellence Model? (A list of possible uses derived from the literature review was provided for the interviewee to select from along with an *'other'* option).	• Decision Phase • Motive • Intended uses of the model	None of the listed uses. More of an exploration of the EFQM Model's possible use to the school.	Self-assessment framework to aid improvement. Performance Management Tool. Benchmarking tool.	Self-assessment framework to aid improvement. Strategic tool. To motivate staff to get involved in quality improvement activities.	Self-assessment framework to aid improvement. Strategic tool. To provide a holistic, broader view of the business.	Document A(iii) "1st Project Board Meeting- agenda and notes" indicates that it is not the intention to implement the EFQM Model within the school during the project. The primary focus was to see how it could be applied to, or modified for use with, the HE sector.	There was no shared view of what the EFQM Model would be used for. Some interviewees thought it would be used for self-assessment and other uses whereas the project manager and the documentation indicated that it wasn't really being implemented.

1.6 What were the expected benefits of using the EFQM Excellence Model? (Were clear objectives set?)	• Decision Phase • Motive • Objectives and expected benefits	Contributing to the exploration and testing of the model in the HE sector.	More efficient administrative systems (personal view).	It was a means of improving the visibility of improvement activities that were happening at the time. Perhaps it could be used for the quantification of improvements.	Performance improvement in the school (this had been stated by the project manager). No specific objectives were set.	Project objectives set out in document A(i) "Project Plan". To pilot test the relevance of the EFQM Model against the specific needs of a typical school.	There appeared to be no shared or clear objectives or expected benefits. There was some notion of performance improvement.
1.7 What were the expected timescales in which the benefits would be accrued?	• Decision Phase • Motive • Objectives and expected benefits	It was a 3-year investigation.	They didn't know until they got started. Once they got going they realised it would be a long haul because of other activities and work.	Some short term (the main focus was one year), e.g. demonstrating good practice and transferring it. The *"softer"* benefits would be longer term (2-3 years).	The timescales were not clear. The interviewee's opinion was that it would be a long haul.		There was a shared view that it would be a long haul.
2. GAINING SENIOR MANAGEMENT COMMITMENT (SMC)	• Preparation Phase • Gaining Senior Management Commitment						

2.1 Which actions were taken to gain senior management commitment?	• Preparation Phase • Gaining Senior Management Commitment	An external consultant (from the HEFCE project) made a presentation to the school's SMT about the use of the EFQM model. The members didn't see the need for the SMT to improve. The Project Manager attempted to get the VC and one of the PVCs "*on board*", however this was not very effective. Two of the SMT became *"Project Champions"* for improvement projects.	A presentation to the school's SMT by a consultant from the HEFCE project steering group.	It was discussed at a Head's meeting. The project manager promoted it to staff in the school. Improvement groups were set up. The interviewee was involved in one of the improvement projects because of his subject expertise rather than in his position as a HoD.	Professors were appointed to improvement groups. An outside consultant made a presentation to senior management in the school.	Document A(vi) "3rd Project Board Meeting" 31 May 2001 indicates that the HoS was to be asked to support the improvement groups. Document A(vi) "3rd Project Board Meeting" 31 May 2001 indicates that an external consultant (from the HEFCE project) would make a presentation to the school's SMT about the use of the EFQM model. However document A(viii) "4th Project Board Meeting" 19/12/01 reflects on this presentation and concluded that the SMT did not, in general perceive the relevance or potential of the EFQM Model to the school. Document A(xii) "5th Project Board meeting" 4 April 2002 shows that the HoD on the Project Board felt that the time was not right	The main action taken to try to secure the commitment of the School SMT was a presentation by the HEFCE project consultant to the School SMT somewhere between 31/5/01 and 19/12/01. The Project had already been running for at least 12 months by the time this happened. The Project Board concluded that the SMT did not, in general perceive the relevance or potential of the EFQM Model to the school. Two Professors from the school's SMT were appointed to improvement groups. Getting support from the VC was considered but not progressed.

						for the University SMT to be briefed on the EFQM Model. He agreed to brief the VC on the progress of the HEFCE project.	
2.2 When were these actions taken?	• Preparation Phase • Gaining Senior Management Commitment • Pace	December 2001, around 18 months into the project. This was because the HoD who had initiated the involvement didn't want to involve the HoS until some progress had been made (very cautious), *"don't rock the boat"*.	Within the first six months.	In the first 2-3 months of the project.	When the improvement groups were set up around 2 years ago.	Document A(vi) "3rd Project Board Meeting" 31 May 2001 indicates that the presentation to the SMT would take place soon after this date.	Although two of the interviewees thought that the presentation to the SMT took place in the first few months of the project, it actually happened between 12 and 18 months in due to the caution of the HoD involved.
2.3 Who did this?	• Preparation Phase • Gaining Senior Management Commitment	An external consultant from the HEFCE project steering group.	The HEFCE project consultant.	The Heads and the project manager.	The HoS appointed Professors to the improvement groups. The external consultant made the presentation to the senior management.		The Project Manager and the HEFCE consultant both carried out actions to try to gain senior management commitment.
2.4 To what extent do you think senior management commitment was gained? A Likert Scale was provided which ranged from 1 *None* to 7 *Full.*	• Preparation Phase • Gaining Senior Management Commitment	1	1 to 2 The presentation to the school's SMT didn't help. It *"was a disaster"* and *"made everything else more difficult"*.	5 to 6	4 It was more of a neutral situation. The SMT said *"go ahead with our support"*. There didn't seem to be any objections.		Mean = 3 Range 1 to 5.5 The project manager and the Director of School Administration thought that the level of SMC was very low. The HoD interviewed thought it was quite high. The improvement group member thought it was neutral.

3. PREPARATION	• Preparation Phase						
3.1 Were any **change models** considered for use during the implementation? (e.g. force field analysis) Yes/No	• Preparation Phase • Planning • Resistance to Change	No, however there was some consideration of possible supporters for the project.	No.	The interviewee wasn't aware of any.	No.		No change models were used.
3.1.1 If so, how were they used and when?	• Preparation Phase • Planning • Resistance to Change • Pace	Not applicable.	Not applicable.	Not applicable.	Not applicable.		Not applicable.
3.1.2 If so why were they used?	• Preparation Phase • Planning • Resistance to Change	Not applicable.	Not applicable.	Not applicable.	Not applicable.		Not applicable.
3.2 Were the motive and objectives in using the EFQM Excellence Model communicated to staff? Yes/No	• Preparation Phase • Planning • Communication • Resistance to Change	No, not initially. This was only done much later.	Not across the school.	Yes.	Yes. Not the school as a whole, just the improvement groups.		It seems that communication about the motive and objectives only took place with elements of the school.

3.2.1 If so, how and when?	• Preparation Phase • Planning • Communication • Pace	Communication took place at workshops but without mentioning the EFQM Model. It wasn't a whole school activity.	The interviewee communicated this to the school office staff, but there was no general communication to the school.	A document was circulated in the interviewee's own department (not sure if this happened across the school). Possibly only those staff who were involved in the improvement groups were communicated with. This happened when the improvement projects started.	The project manager and the external consultant briefed the improvement groups at their first meetings.		Communication took place in an ad hoc way.
3.3 Culture/Context	• Preparation Phase • Planning • Culture/context assessment						
3.3.1 Was there an attempt to assess the organisational culture? Yes/No.	• Preparation Phase • Planning • Culture/context assessment	There was a general knowledge of an autonomous culture in the school. The school's SMT weren't unified. Any objectives, responsibilities or management measurements that the school had were not visible to the majority of staff (personal view).	No.	Yes. The interviewee thought that his own department might have been receptive to the EFQM Model due to previous knowledge and research.	No.		Although two of the interviewees offered their own opinions on aspects of this, there was no systematic attempt to assess the organisational culture/context.

3.3.2 If so, how and when?	• Preparation Phase • Planning • Culture/context assessment • Pace	In the early days of the project by the Project Manager.	Not applicable.	In the early days of the project. The interviewee discussed it with senior staff in his department.	Not applicable.		Any assessment of culture took place on an individual or small group level.
3.3.3 Were any of the following aspects of culture/context taken into consideration in the preparation?	• Preparation Phase • Planning • Culture/context assessment						
3.3.3.1 Management Style? Yes/No.	• Preparation Phase • Planning • Culture/context assessment	No. *"What Management?"*	No.	Yes.	No.		Management style wasn't considered.
If yes, which issues were considered?	• Preparation Phase • Planning • Culture/context assessment	Not applicable.	Not applicable.	The school wouldn't normally take on this type of project. It wasn't seen as relevant.	Not applicable.		Not applicable.
How would you assess the management style? A seven point Likert scale was provided ranging from 1 *Collegial* to 7 *Managerial.*	• Preparation Phase • Planning • Culture/context assessment	4 There was an indecisive style.	5 to 6	6	6 to 7 But with low intervention from management.		Mean = 5.5 Range 4 to 6.5 Management style was towards the managerial end of the scale.
3.3.3.2 Individualism of academic staff? Yes/No.	• Preparation Phase • Planning • Culture/context assessment	Yes.	No. The interviewee was dealing with administrative staff.	Yes.	Yes.		It appears that there was some consideration of the individualism of academic staff.

If yes, which issues were considered?	• Preparation Phase • Planning • Culture/context assessment	Generally the staff were seen as autonomous.	Not applicable.	A less individualistic department was chosen to work with (his own).	This was the biggest cultural issue to be faced. There was an acceptance that *"this is how it is"*, i.e. that there was a tendency towards individualism.		The interviewees thought that the individualism of academic staff might cause difficulties. One interviewee thought that his less individualistic department had been chosen to work with for this reason.
How would you assess the level of academic staff individualism? A seven point Likert scale was provided ranging from 1 *Individual* to 7 *Teamworking.*	• Preparation Phase • Planning • Culture/context assessment	2 to 3 But varies from department to department from 2 to 6.	4 to 5 But with the full range of the scale within the school.	3 to 4 His own department was 6.	3 There was a range in the school from 1 to 6. In the interviewee's own area of the school it was 5 to 6.		Mean = 3.8 Range 2.5 to 4.5 But with an overall range of 1 to 6. This suggests a tendency towards individualism.
3.3.3.3 Professional nature of academic staff? Yes/No.	• Preparation Phase • Planning • Culture/context assessment	No.	No.	No.	Yes.		The professional nature of academic staff wasn't considered.
If yes, which issues were considered?	• Preparation Phase • Planning • Culture/context assessment	Not applicable.	Not applicable.	Not applicable.	Recognising that professionals are individually accountable. The interviewee thought that another issue might be *"will the EFQM Model enhance your professionalism?"*		Not applicable, only one personal view on professionalism.

To what extent do you think that the academic staff see themselves as professionals? A seven point Likert scale was provided ranging from 1 *Low* to 7 *High.*	• Preparation Phase • Planning • Culture/context assessment	5 to 6	6 They are self-motivated and reflective.	7	6 to 7		Mean = 6.25 Range 5.5 to 7 The interviewees thought that the academic staff saw themselves as professionals.
3.3.3.4 Academic Freedom/critical nature of academic staff? Yes/No.	• Preparation Phase • Planning • Culture/context assessment	No.	No.	No.	No.		Academic freedom and the critical nature of academic staff was not considered.
If yes, which issues were considered?	• Preparation Phase • Planning • Culture/context assessment	Not applicable.	Not applicable.	Not applicable.	Not applicable.		Not applicable.
How much academic freedom and criticality do you think the academic staff exercise? A seven point Likert scale was provided ranging from 1 *Low* to 7 *High.*	• Preparation Phase • Planning • Culture/context assessment	2 to 3 This is what is exercised in reality as staff seldom get feedback on ideas. There is the potential for this to go as high as 6 on the scale.	4	5	7 On the condition that the activity is financially viable.		Mean = 4.6 Range 2.5 to 7 There was a broad range of opinion on the amount of academic freedom and criticality exercised by staff, but with a tendency towards this being high.
3.3.3.5 Recognition/ Rewards for involvement in EFQM implementation? Yes/No/Not considered.	• Preparation Phase • Planning • Culture/context assessment	Not considered.	Not considered.	Not considered.	Not considered.		Recognition/ Rewards for involvement in EFQM implementation was not considered.

If yes, why and which forms of recognition/ rewards were planned?	• Preparation Phase • Planning • Culture/context assessment	Not applicable.	Not applicable.	Not applicable.	Not applicable.		Not applicable.
If no, why not?	• Preparation Phase • Planning • Culture/context assessment	None were available in this environment.	*"Its not the sort of thing that links into rewards".*	Not applicable.	There was no obvious mechanism to do this.		There was no mechanism to reward this involvement. None of the interviewees mentioned any recognition taking place.
3.3.3.6 Language/Terminology used in the EFQM Excellence Model. Was it tailored to suit the culture/context? Yes/No/Not considered.	• Preparation Phase • Planning • Culture/context assessment	Yes.	No.	No.	No. The EFQM Model was not understood, no clear explanation of it was given. This *"would have helped".*		In terms of language and terminology, the project manager decided not to mention the model. One interviewee saw this lack of explanation as a problem.
If yes, why and what changes were made?	• Preparation Phase • Planning • Culture/context assessment	It was decided not to mention the model. This was not seen to be necessary as the Project Manager was trying to use the principles of the model to improve the management of the school.	Not applicable.	Not applicable.	Not applicable.		

If no, why not?	• Preparation Phase • Planning • Culture/context assessment	Not applicable.	This became a problem because some of the language used in the EFQM model didn't sit easily. It wasn't easily understood.	It wasn't necessary to tailor it in this context.	Not applicable.		One interviewee thought that it wasn't necessary to tailor the language in the EFQM Model whilst one thought that the language wasn't easily understood.
3.3.3.7 Department/School/ Faculty culture of support. Yes/No.	• Preparation Phase • Planning • Culture/context assessment	Yes.	No.	No.	Yes.		Two of the interviewees considered the issue of the culture of support on an individual basis.
If yes, which issues were considered?	• Preparation Phase • Planning • Culture/context assessment	• It was unlikely that the project would get the support of the school's SMT. • Everyone "*does their own thing*"	Not applicable.	Not applicable.	This was raised during the improvement group meetings. There was a lack of support for management interventions. *"How do you steer a rudderless ship?"*		There was some concern about support from the SMT.
Which of the points on this scale best describes the culture of support in your Department/School/ Faculty? A seven point Likert scale was provided ranging from 1 *blame/fear* or *unsupportive/uncooperative* to 7 *supportive/cooperative*.	• Preparation Phase • Planning • Culture/context assessment	2 Unsupportive.	5 This tended to be strong for initiatives that were *"have to's"* e.g. QAA Subject Reviews	3	4 to 5		Mean = 3.6 Range 2 to 5 The school culture tended towards the unsupportive end of the range, particularly for initiatives which didn't have to be done.

3.4 Issues specific to the use of the EFQM Excellence Model	• Preparation Phase • Planning • EFQM Model specific choices						
3.4.1 Which approach to self-assessment was chosen? A list of possible approaches was provided derived from the literature review.	• Preparation Phase • Planning • EFQM Model specific choices	First a *"quick and dirty"* self-assessment by the Project Manager and the HoD. 2nd was a workshop 3rd was a pro-forma	Workshop approach (For awareness raising, EFQM Model not used directly).	Workshop approach.	None of those listed.	Document A(ii) "Subjective self-assessment" shows the results of the quick and dirty self-assessment. Document A(iv) "2nd Project Board Meeting" indicates that 2 workshops would be used for self-assessment.	There was no clear recollection of the approach to self-assessment, which was used. The documentation revealed that a subjective self-assessment was to be followed by a workshop, however the workshop was only used for awareness raising.
Why was this approach chosen?	• Preparation Phase • Planning • EFQM Model specific choices	The pro-forma had been used before by the HoD. The workshop allowed time to talk in depth and to get to the bottom of issues. A *"diagonal slice"* was taken across the school to include staff in different roles and departments and of both sexes. These worked in 2 groups of 6. *"Positive troublemakers"* who could be critical but constructive were deliberately involved by the project manager.	The interviewee didn't know.	A mixture of staff could be involved using a *"diagonal slice"*.	The self-assessment was probably done by Heads of Groups. The interviewee hadn't been aware of the diagonal slice workshop.		The workshop was meant to gain the involvement of staff across the school via the diagonal slice.

3.4.2 Was a decision taken on whether to use scoring as part of the self-assessment process? Yes/No/Not considered.	• Preparation Phase • Planning • EFQM Model specific choices	Yes. The decision was not to use scoring.	Not considered.	Yes. It was decided by the workshop not to score.	The interviewee didn't know, but scoring wasn't used.	Document A(iv) "2nd Project Board Meeting". Indicates that the Project Board discussed the values and issues of scoring and agreed not to continue with scoring activities on 14/2/01.	It was decided not to use scoring.
If yes, why?	• Preparation Phase • Planning • EFQM Model specific choices	Not applicable.	Not applicable.	Not applicable.	Not applicable.		Not applicable.
What were the intended uses of the scores?	• Preparation Phase • Planning • EFQM Model specific choices	Not applicable.	Not applicable.	Not applicable.	Not applicable.		Not applicable.
If no, why not?	• Preparation Phase • Planning • EFQM Model specific choices	The project manager felt that scoring was only relevant for Benchmarking, which the school were not doing. Scoring wouldn't be accurate to start with because of a lack of understanding. As a result of this, the second time that scoring is carried out, the score could reduce even though improvements had been made. This would be demotivating.	Not applicable.	The interviewee wasn't sure why the decision had been taken not to score.	Not applicable.		Only the project manager had a clear view on the reasons for not using scoring. It was only relevant for Benchmarking, it wouldn't be accurate to start with and scoring could be demotivating if the score reduced in the second round.

3.4.3 Was a decision taken on whether to amend the criterion weightings given in the model? Yes/No/Not considered.	• Preparation Phase • Planning • EFQM Model specific choices	No. Scoring wasn't being used.	Not considered.	No. Scoring wasn't being used.	The interviewee wasn't aware of this.		Not applicable as scoring wasn't being used.
If yes, why and what were they changed to?	• Preparation Phase • Planning • EFQM Model specific choices	Not applicable.	Not applicable.	Not applicable.	Not applicable.		Not applicable.
If no, why were they used as in the model?	• Preparation Phase • Planning • EFQM Model specific choices	Not applicable.	Not applicable.	Not applicable.	Not applicable.		Not applicable.
3.4.4 Was a decision made to use RADAR logic in the implementation? Yes/No/Not considered.	• Preparation Phase • Planning • EFQM Model specific choices	No.	Not considered.	Not considered.	The interviewee wasn't aware of this.		It was decided not to use RADAR logic.
If yes, why and how?	• Preparation Phase • Planning • EFQM Model specific choices	Not applicable.	Not applicable.	Not applicable.	Not applicable.		
If no, why not?	• Preparation Phase • Planning • EFQM Model specific choices	The school didn't get as far as full application of the model and therefore didn't use RADAR.	Not applicable.	It was decided to *"keep it simple"*.	Not applicable.		The school didn't get as far as full application of the model and therefore didn't use RADAR.
3.5 Demonstrating Senior Management Commitment	• Preparation Phase • Planning • Demonstrating SMC						

What actions were planned in order to demonstrate SMC to the implementation?	• Preparation Phase • Planning • Demonstrating SMC	There wasn't much support, therefore not much was planned. Two school SMT members were to become *"Improvement Project Champions"*. They were reactive rather than proactive and *"didn't want to rock the boat with the Head of School"*.	Nothing, apart from school SMT members being involved in the workshops.	The improvement teams were to report back to the HoS. The senior management weren't really involved in the improvement groups.	Two Professors who were both Heads of Groups were appointed to the improvement groups.		SMC was planned to be demonstrated through the involvement of two professors from the SMT in the improvement groups.
Why were these approaches chosen?	• Preparation Phase • Planning • Demonstrating SMC	It provided an opportunity for the SMT to lead improvement.	The interviewee needed to be involved as the senior person in his area (personal view).	The management was trying to use it as a *"bottom up"* initiative.	The two were more interested than most in management initiatives because of their backgrounds and motivations.		There was no clear view as to why this approach to demonstrating SMC was chosen.
3.6 Project Management	• Preparation Phase • Planning • Project Management						
3.6.1 Was a Steering Committee set up? Yes/No.	• Preparation Phase • Planning • Project Management	Yes.	Yes.	Yes.	The interviewee wasn't aware of this.	Yes. Project Board set up in document A(i) "Project Plan".	A Project Board was set up.

If yes, why, when and who was involved?	• Preparation Phase • Planning • Project Management • Pace	A Project Board was set up in November 2000 made up of the Project Manager, the HoD (project leader), the Director of Finance and Administration and a co-opted external consultant from the HEFCE project. Some meetings were attended by the HEFCE consortium project manager. The objective was for the board to manage and guide the project. The board met every 3-6 months (6 meetings in 2 years).	A Project Board was set up in Autumn 2000 to ensure things were happening. It was made up of the interviewee, the Project Manager and the HoD.	Set up at the beginning of the project to steer the project and was made up of the project manager, the interviewee and a HoD of another school department.	Not applicable.	First meeting of the Project Board was on 22/11/00. The role and membership of the Board was established. Document A(iii). This confirmed the Project Manager's statement.	A Project Board was set up in November 2000 made up of the Project Manager, the HoD (project leader), the Director of Finance and Administration and a co-opted external consultant from the HEFCE project. Some meetings were attended by the HEFCE consortium project manager. The objective was for the board to manage and guide the project. The board met every 3-6 months (6 meetings in 2 years).
3.6.2 Was a Project Manager appointed? Yes/No.	• Preparation Phase • Planning • Project Management	Yes. The person who should have been the project manager left just as the project was about to start.	Yes.	Yes.	Yes.	Yes. Project Manager identified in document A(i) "Project Plan".	A project manager was appointed.
If yes, when?	• Preparation Phase • Planning • Project Management	Summer 2000.	Summer 2000.	At the start of the project.	Around the start of the project.		In summer 2000.
Did the Project Manager have previous knowledge of or experience with the EFQM Excellence Model?	• Preparation Phase • Planning • Project Management	No, although the project manager had a quality management background and was familiar with the principles of the EFQM model.	Not that the interviewee knew of.	Yes, but the interviewee wasn't sure specifically what.	The project manager had some awareness of it, however the interviewee thought that he didn't have experience of implementing the EFQM Model.		The project manager had some familiarity with the EFQM Model.

Did the Project Manager have previous project management experience?	• Preparation Phase • Planning • Project Management	Yes. In the military and in industry.	Yes.	Yes, the interviewee was aware that the project manager had some experience.	The interviewee guessed that he had as he knew that he had been in the Army.		The project manager had previous project management experience.
What training did the Project Manager receive and when?	• Preparation Phase • Planning • Project Management • Pace	EFQM Assessor training in 2000.	The interviewee wasn't aware of any.	The interviewee didn't know.	The interviewee wasn't aware of any.		The project manager received EFQM assessor training in 2000.
3.6.3 Was a project plan constructed? Yes/No.	• Preparation Phase • Planning • Project Management	Yes.	Yes. This was done early on but *"disappeared quickly"*.	Yes.	No. The interviewee didn't think so. If one existed *"we would have seen it"*. There was no concept of timescales.	Yes. Document A(i) "Project Plan". 27/9/00	There was a project plan but it wasn't shared with the improvement groups.
Was the pace of implementation considered in the planning, if so how?	• Preparation Phase • Planning • Project Management • Pace	There was a planned sequence of activities, which were linked to the HEFCE project timescales. *"Slow and Steady"*.	The plan was based on gaining a small change, highlighting the benefits of the change and then demonstrating this to others.	Yes, timescales were set. A decision was made not to make a huge workload imposition as the staff involved were volunteers.	It wasn't considered.	Yes, four timed phases in document A(i) "Project Plan".	The pace of implementation was considered in the project plan. There were four timed phases in the project plan. The overall approach was "slow and steady".
Who was involved in constructing the project plan?	• Preparation Phase • Planning • Project Management	The HoD and the initial project manager who had left just as the project was starting.	The Project Manager and the HoD.	The project manager developed it and then shared it with the steering group.	Nobody.	The Project Manager. Document A(i) "Project Plan".	The project manager developed the project plan.
Was the implementation piloted and then rolled out or done across the case study organisation?	• Preparation Phase • Planning • Project Management	Across the school via workshops. There was an unachieved ambition to roll it out from the school to the rest of the University.	It was done across the school.	It was done across the school, but then there were 2 pilot improvement projects.	Roll out from the improvement projects was never achieved.		The implementation was done across the school.

Why was this approach chosen?	• Preparation Phase • Planning • Project Management	The departments in the school were fairly small, therefore it was better to use it across the school.	Staff were included from across the school and at different levels to get involvement.	The interviewee wasn't sure. It seemed like a good idea given staff workloads and the reliance on volunteers.	Not applicable.		The departments in the school were fairly small, therefore it was better to use it across the school and staff were included from across the school and at different levels to get involvement.
Which other major initiatives/projects were taking place at the same time as the EFQM Excellence Model implementation?	• Preparation Phase • Planning • Project Management	The interviewee wasn't aware of any, just day to day activities.	There was a staff development project happening across the university. General workload. A new Finance Information System had been implemented in the last 18 months.	The retirement of some of the HoDs was imminent, so a possible restructuring was in the offing. Day to day workloads.	There were no exceptional initiatives, perhaps RAE 2001.		On the whole, there were no other significant projects or initiatives taking place in the school at the time.
3.6.4 How was progress of the project monitored and by whom?	• Preparation Phase • Planning • Project Management • Momentum	By the Project Board meetings.	By Project Board meetings.	By the Project Manager. The project manager reported to the school SMT.	The interviewee wasn't aware of any monitoring.	Project Board set up in document A(i) "Project Plan". Monitoring took place in Project Board meetings. Documents A(iii), A(iv), A(vi), A(viii), A(xii) and A(xiii) at regular intervals between 22/11/00 and 17/9/02 (6 times).	The Project Board monitored progress with the project. The project board met about every 6 months.

3.6.5 What resources were allocated to the project and when?	• Preparation Phase • Planning • Project Management	A 50% project manager.	Very little, a 50% project manager.	*"Zero".* The project manager's time. Some cash (minimal). Not sure of any other resources.	Rooms for meetings. Project Manager. Possibly some money, but the interviewee wasn't sure what it was for. Voluntary involvement of staff in improvement groups.		The resources allocated to the project were the Project Manager for 50% of his time, a small amount of money and the voluntary involvement of staff. There was a feeling that the project hadn't been resourced well.
3.7 Education and Training	• Preparation Phase • Planning • Education and Training						
What education and training was planned to be carried out to support the implementation?	• Preparation Phase • Planning • Education and Training	A briefing to the improvement teams. A briefing to the school's SMT. No formal training was planned.	None was planned initially.	A modest amount. The interviewee couldn't recall anything. A presentation to the improvement group members by the project manager.	None.	Document A(vi) "3rd Project Board Meeting" 31 May 2001 records the planning of a 2-3 hour session for the SMT to look at what the EFQM Model could do for the school and what projects could be done in year 2 of the project.	Very little training was planned. Some did occur; a briefing to the school's SMT and a presentation to the improvement group members by the project manager.
Why?	• Preparation Phase • Planning • Education and Training	The school was not using the model in *"its fullness"* and there was no funding available for training.	Not applicable.	Not applicable.	Not applicable.		The lack of planned training was because the school was not using the model in *"its fullness"* and there was no funding available for training.

Who for?	• Preparation Phase • Planning • Education and Training	Not applicable.	Not applicable.	Improvement group members.	Not applicable.		
When?	• Preparation Phase • Planning • Education and Training • Pace	Not applicable.	Not applicable.	At the launch of the improvement groups.	Not applicable.		
Who by?	• Preparation Phase • Planning • Education and Training	The external consultant from the HEFCE project delivered the briefing to the school's SMT. The project manager briefed the improvement teams.	Not applicable.	The project manager.	Not applicable.		The external consultant from the HEFCE project delivered the briefing to the school's SMT. The project manager briefed the improvement teams.

Was an external consultant used? Yes/No.	• Preparation Phase • Planning • Education and Training	Yes. The Deputy Chair of the HEFCE Project Steering Group.	Yes. From the HEFCE Project Steering Group.	The interviewee didn't know.	Yes. The consultant from the HEFCE improvement group presented to the first meeting of the improvement group. The EFQM Model wasn't explained, just the overall HEFCE project. He also presented to the school's SMT. The Project Manager from one of the partner Universities in the HEFCE consortium presented on their use of the EFQM Model to the improvement group about a year into the project. This arose from questions from the improvement group who wanted to learn what other universities had done as the group were frustrated by the lack of clarity of purpose and the lack of their own progress.	Yes. The Deputy Chair of the HEFCE Project Steering Group identified in document A(i) "Project Plan".	An external consultant was used, the Deputy Chair of the HEFCE Project Steering Group

What was the reason for this choice?	• Preparation Phase • Planning • Education and Training	There was a lack of expertise in the school (the HoD of Quality Management had retired). The consultant was supportive and lived locally.	The interviewee didn't know. The project manager had brought the consultant in.	Not applicable.	It *"came with the package"*, part of the bigger project.		The reasons for using the external consultant were that there was a lack of expertise in the school (the HoD of Quality Management had retired) and the consultant was supportive and lived locally.
3.8 Communication	• Preparation Phase • Planning • Communication						
What communication was planned about the implementation?	• Preparation Phase • Planning • Communication	No communication was planned and there was no vehicle for communicating this sort of initiative.	The interviewee communicated with his own group and others that became impacted on by the improvement work.	The interviewee remembered that email would be used to communicate to all staff in the school. Feedback would be provided to the school SMT.	None, no plan was evident.	Project Communications Plan set out in document A(i) "Project Plan". Produced by the Project Manager.	Although there was a communications plan outlined in the project plan, it appears that there was little knowledge of its existence.
Why?	• Preparation Phase • Planning • Communication	Not applicable.	To inform/consult with people affected by possible changes.	Everybody is on email.	Not applicable.		Not applicable.
When?	• Preparation Phase • Planning • Communication • Pace	Not applicable.	About one year into the project.	Not planned.	Not applicable.	27/9/00	The communications plan was put together on 27/9/00.
3.9 Planned involvement in the implementation process and use of the EFQM Excellence Model.	• Preparation Phase • Planning • Staff Involvement and Teamwork						

Who?	• Preparation Phase • Planning • Staff Involvement and Teamwork	The *"diagonal slice"* workshop groups described earlier, including *"positive troublemakers"*. Improvement project teams. Membership of these was based on interest and experience. There was a little overlap in the membership of the above groups.	Staff in improvement groups. The *"diagonal slice"* of staff.	The *"diagonal slice"* participants. The invited project improvement group members.	Staff from across the school.		It was planned to involve staff from across the school in the diagonal slice and the improvement groups.
Why?	• Preparation Phase • Planning • Staff Involvement and Teamwork	To get discussion and to get to the bottom of issues.	To get staff involved.	The interviewee wasn't sure.	The interviewee didn't know.		There was no clear view as to why these approaches to involving staff had been chosen. There was some notion of getting discussion of issues.
How?	• Preparation Phase • Planning • Staff Involvement and Teamwork	Through the groups described above.	*"Diagonal slice"* for self-assessment Improvement teams	Diagonal slice. Improvement groups.	Staff working in 2 improvement groups. These were put together by the project manager.		The *"diagonal slice"* workshop groups described earlier, including *"positive troublemakers"*. Improvement project teams. Membership of these was based on interest and experience.
Was the use of teams considered? Yes/No.	• Preparation Phase • Planning • Staff Involvement and Teamwork	Yes.	Yes.	Yes.	Yes.		The use of teams was considered.

If yes, why were teams used and how were they deployed?	• Preparation Phase • Planning Staff Involvement and Teamwork	Described above.	To get staff involved and deployed as described above. The interviewee was of the opinion that there had been too much reliance on teams with not enough champions.	The diagonal slice and the improvement groups to involve staff.	Improvement groups, because this was the way the project manager had organised it.	Document A(vi) "3rd Project Board Meeting". Two improvement teams set up.	The teams were set up to get staff involved.
If no, why weren't teams used?	• Preparation Phase • Planning • Staff Involvement and Teamwork	Not applicable.	Not applicable.	Not applicable.	Not applicable.		Not applicable.
4. MOMENTUM	• Implementation and Evaluation Phase • Momentum						
4.1 Improvement Planning, Action and Review after self-assessment	• Implementation and Evaluation Phase • Momentum • Improvement Planning, Action and Review						
When was this carried out?	• Implementation and Evaluation Phase • Momentum • Improvement Planning, Action and Review • Pace	August 2001.	Mid 2001.	After the diagonal slice had carried out a self-assessment.	About two to two and a half years ago.	Document A(vi) "3rd Project Board Meeting" sets improvement teams up on 31 May 2001.	Improvement planning, action and review started on 31/5/01.

Who by?	• Implementation and Evaluation Phase • Momentum • Improvement Planning, Action and Review	Priorities were decided by the Project Manager, the HoD and the HoS.	The diagonal slice, the consultant and the project manager.	The school SMT.	The interviewee wasn't sure.		It wasn't clear who had carried out the improvement planning. The project manager and the HoS seemed to be involved.
How was this carried out?	• Implementation and Evaluation Phase • Momentum • Improvement Planning, Action and Review	By discussion and then the setting up of improvement project teams.	In a workshop.	The improvement projects were chosen by the school SMT, based on the diagonal slice's self-assessment. The actions were to be carried out by the improvement groups and the review was to be carried out by the project manager.	The interviewee wasn't sure.	Document A(vii) "Summary of Improvement Projects" 13 December 2001 shows that two improvement teams were working on projects. Document A(ix) "Improvement Project Meeting Notes" 5 February 2002 shows that an improvement team of 8 staff were working on a project. Document A(xi) "Improvement Project 4th Meeting Notes" 18 February 2002 shows that an improvement team of 7 were working on another project.	Improvement planning was carried out by the school SMT, based on the diagonal slice's self-assessment. The actions were to be carried out by the improvement groups. Two teams (one of 7 and one of 8) were set up working on separate projects.

Why was it done in this way?	• Implementation and Evaluation Phase • Momentum • Improvement Planning, Action and Review	There were 2 improvement areas to work on with 5-7 members in each team. The idea was to include different perspectives. To generate involvement.	To get multiple views from in the school.	The project manager was a source of enthusiasm and ownership.	The interviewee didn't know.		Improvement planning and action was done in this way to get different perspectives from within the school.
Was there any particular emphasis? E.g. quick wins, impact.	• Implementation and Evaluation Phase • Momentum • Improvement Planning, Action and Review	No, it was based on the school's improvement needs.	The hope was to possibly get one quick win in one of the improvement projects to get some momentum.	The two improvement projects were important to the development of the school. There were internal benchmarking possibilities.	The areas that the 2 improvement groups were working on were seen as priority issues.		The emphasis in the improvement projects was that the two projects addressed priority improvement areas for the school.
4.2 Did the implementation progress on schedule? Yes/No.	• Implementation and Evaluation Phase • Momentum • Pace	No.	No.	Yes.	The interviewee didn't know was he wasn't aware of a project plan.		The overall view is that the implementation did not progress on schedule.
If not, why not?	• Implementation and Evaluation Phase • Momentum • Pace	Progress was not as quick as the project manager would have liked. The better/busier people involved had high workloads.	A lack of champions (only the project manager). It wasn't a priority in the school.	Not applicable.	Not applicable.		The perceived reasons for the implementation not progressing on schedule were various; the high workloads of the people involved, a lack of champions and that it wasn't a priority in the school.

How was momentum regained?	• Implementation and Evaluation Phase • Momentum • Pace	It wasn't.	It wasn't, it drifted.	Not applicable.	Not applicable.		Momentum wasn't regained.
What communication took place to inform staff about progress with the implementation?	• Implementation and Evaluation Phase • Momentum • Communication	There was no general communication to the school. The minutes of the improvement group meetings (each group met 6-10 times) were circulated to the group members to keep them informed.	Not much.	A modest amount.	None really.	Document A(x) "Memo from a improvement project team to all school staff" 11 February 2002 asks for staff to fill in a questionnaire to provide information for the improvement project.	There was very little communication to the staff in the school to keep them informed of progress.
4.3 Were the expected benefits of using the Excellence Model achieved? Yes/No.	• Implementation and Evaluation Phase • Momentum • Evaluation of benefits	No. The project didn't manage to show that the EFQM Model was a useful tool to the school.	No.	Partially. It improved the visibility of improvement initiatives.	No.		Generally, the expected benefits of using the EFQM Excellence Model were not achieved.
If not, what were the major barriers to achieving these benefits?	• Implementation and Evaluation Phase • Momentum	A reluctance or inability of the school's SMT to acknowledge the need for improvement and commit to it. The project manager was perhaps too blunt for the school's SMT and needed to operate in a more persuasive mode.	Staff time and commitment. Particularly, there had been a number of staff absences in the administrative area.	The HoS didn't see the EFQM implementation as a key issue. People didn't see it as key to their own futures.	Lack of defined objectives. Lack of knowledge of the EFQM Model. Lack of knowledge of the Project Plan.		The major barriers to achieving the benefits were that the HoS didn't see the EFQM implementation as a key issue, people didn't see it as key to their own futures, the lack of knowledge of the EFQM Model, the lack of knowledge of the Project Plan and the reluctance of the school's SMT to commit to this improvement initiative.

4.4 Do you think the pace of implementation was: too slow, too quick, about right?	• Implementation and Evaluation Phase • Momentum • Pace	About right.	Too slow.	Too slow.	The interviewee couldn't offer an opinion as the EFQM Model Hadn't really been implemented.		The pace of implementation was seen as being too slow.
Why do you think this?	• Implementation and Evaluation Phase • Momentum • Pace	The project manager would have liked a quicker pace but felt that it was reasonable given staff workloads.	The project lost impetus. The hoped-for "quick win" didn't happen.	A lack of motivation stemming from the lack of value staff associated with the project.	Not applicable.		This lack of pace was put down to a lack of staff motivation because the project wasn't valued and also there was no "quick win" in the improvement projects.
4.5 Was senior management commitment maintained throughout the implementation? Yes/No	• Implementation and Evaluation Phase • Momentum • Demonstrating SMC	No. *"What commitment?"*	It wasn't there to start with.	Yes.	Yes, in that it wasn't withdrawn.		There were mixed views on whether SMC was maintained. Two interviewees thought it was, whilst two thought strongly that it wasn't there to start with.

How was senior management commitment demonstrated during the implementation?	• Implementation and Evaluation Phase • Momentum • Demonstrating SMC	It wasn't.	It wasn't.	By requests for progress reports to Heads' meetings	It wasn't demonstrated. It wasn't negative.	Document A(vii) "Summary of Improvement Projects" 13 December 2001 indicates that the HoS had given approval for two improvement projects to be set up and two Professors were appointed as project champions. However Document A(viii) "4th Project Board Meeting" indicates that the HoS did not support the setting up of a team to look at the potential of using the EFQM Model to develop a management system for the school.	There were very few examples of SMC to the project being demonstrated.
What helped to maintain senior management commitment?	• Implementation and Evaluation Phase • Momentum • Demonstrating SMC	Nothing.	Nothing.	Not much.	SMC wasn't demanded or requested by the improvement group.		Nothing had helped to maintain SMC.

If senior management commitment was not maintained what affected it?	• Implementation and Evaluation Phase • Momentum • Demonstrating SMC	There was none to start with.	It wasn't there in the first place. Academic Managers are not trained managers (but managers with an industry background also weren't committed).	Not applicable.	The improvement groups didn't ask for senior management to participate.		SMC was not maintained because it was perceived as not being there to start with. In addition, the improvement groups didn't ask for senior management to participate.
Were there any changes in senior management during the course of the implementation? Yes/No	• Implementation and Evaluation Phase • Momentum • Demonstrating SMC	Yes.	No.	Yes.	No.		
If so, which positions and when?	• Implementation and Evaluation Phase • Momentum • Demonstrating SMC	The HoD of Quality Management who had instigated the HEFCE project retired about 18 months into the project. He was not replaced and nobody else took over his role on the HEFCE project.	Not applicable.	Two HoDs retired in August 2002. One was replaced. One HoD with expert knowledge of the EFQM Model was not replaced.	Not applicable.		The HoD of Quality Management who had instigated the HEFCE project retired about 18 months into the project. He was not replaced and nobody else took over his role on the HEFCE project.
To what extent do you think senior management commitment was demonstrated during the implementation? A Likert scale was provided from 1 *None* to 7 *Full.*	• Implementation and Evaluation Phase • Momentum • Demonstrating SMC	1	1	4	2 The HoS didn't check on progress. There was no senior management champion for the project (this might have been seen as a threat by the HoS).		Mean = 2 Range 1 to 4 The perception was that very little SMC was demonstrated during the *project.*

4.6 Was the planned level of resources maintained during the implementation? Yes/No	• Implementation and Evaluation Phase • Momentum • Project Management	Yes.	Yes.	Yes.	Yes. Voluntary involvement continued. The project manager was in place throughout the project.		The planned level of resources was maintained during the project.
If not, what affected this?	• Implementation and Evaluation Phase • Momentum • Project Management	Not applicable.	Not applicable.	Not applicable.	Not applicable.		Not applicable.
If yes, was the level of resources sufficient?	• Implementation and Evaluation Phase • Momentum • Project Management	Perhaps not. The Project Manager felt that with more time he could have done more on the project himself and spent more time chivvying others.	No. The project needed more champions and time given to people. The interviewee thought that this was not likely to happen without senior management commitment.	Yes.	No. There was no real time to make proper changes.		The overall perception was that the level of resource was not sufficient. There was a lack of project champions and the staff involved had little time available to make changes.
4.7 Was the planned staff training carried out?	• Implementation and Evaluation Phase • Momentum • Education and Training	Yes, however very little had been planned.	No, none was planned.	Yes.	None had been planned.		The small amount of staff training that had been planned was carried out.
If not, why not?	• Implementation and Evaluation Phase • Momentum • Education and Training	Not applicable.	Not applicable.	Not applicable.	Not applicable.		Not applicable.

What effect did this have on the implementation?	• Implementation and Evaluation Phase • Momentum • Education and Training	It just provided some background on what was happening.	Not applicable.	*"It was good"*. It did as intended in raising awareness of the project.	It contributed to the failure of the project. There was little knowledge of the model and the school's SMT weren't aware of the benefits.		Although the training provided some awareness the lack of training meant that there was little knowledge of the EFQM Model.
4.8 Was there any recognition of or rewards for staff involved in EFQM implementation?	• Implementation and Evaluation Phase • Momentum • Recognition and Rewards	No.	No.	No.	No.		There was no recognition of or rewards for staff involved in EFQM implementation
5. INTEGRATION	• Implementation and Evaluation Phase • Integration						
5.1 How many organisational levels was the EFQM Excellence Model implemented in?	• Implementation and Evaluation Phase • Integration • Multi-level use in the organisation	Two, the school and the departments.	Two levels. The school and the departments.	Two levels, the school and the departments.	It hadn't really been implemented. Two levels, the school and 3 departments.		The EFQM Model had been used at two levels; the school and the departments. Although it hadn't really been implemented.
5.2 How was RADAR logic used in the implementation?	• Implementation and Evaluation Phase • Integration • Actual uses of the EFQM Model	It wasn't.	It wasn't.	It wasn't.	It wasn't.		RADAR logic wasn't used in the implementation.

5.3 Was the planned level of staff involvement with the EFQM Excellence Model achieved?	• Implementation and Evaluation Phase • Integration • Staff Involvement and Teamwork	Yes. With the activities emanating from the use of the model, i.e. the improvement groups.	Yes, but it *"petered out"*.	Yes. Involvement in the improvement groups.	Yes, but only in two improvement groups.	Document A(ix) "Improvement Project Meeting Notes" shows the involvement of 8 staff in an improvement project. Document A (xi) "Improvement Project 4th meeting notes" 18 February 2002 shows the involvement of 7 staff in an improvement project.	The only real involvement of staff was in the 2 improvement groups.
If not, why not?	• Implementation and Evaluation Phase • Integration • Staff Involvement and Teamwork	Not applicable.	Not applicable.	Not applicable.	Not applicable.		Not applicable.
5.4 How many rounds of self-assessment have been carried out and when?	• Implementation and Evaluation Phase • Integration • Actual uses of the EFQM Model • Pace	Two rounds. The *"quick and dirty"* assessment in the third quarter of 2000. The workshops in the first and second quarters of 2001.	One, with the two diagonal slice groups in the first year of the project.	One, by the diagonal slice group in the first year of the project. The interviewee wasn't sure if any subsequent self-assessments had taken place.	None that the interviewee was aware of.	A subjective self-assessment is detailed in document A(ii) "Subjective Self-Assessment". Document A(v) "Summary of Academic and Support group workshops 7 and 12 March 2001" summarises the outputs of the self-assessments.	There had been two rounds of self-assessment; the *"quick and dirty"* assessment in the third quarter of 2000. And the workshops in the first and second quarters of 2001.

5.5 Which of the following has the model actually been used for and how often? (A list of possible uses derived from the literature review was provided for the interviewee to select from along with an '*other*' option).	• Implementation and Evaluation Phase • Integration • Actual uses of the EFQM Model	Self-assessment framework To provide a holistic, broader view of the business (to a small extent). To motivate staff to get involved in quality improvement activities (to a small extent).	Self-assessment framework.	Self-assessment framework Strategic tool *("to see how good we were in key areas").* To provide a holistic, broader view of the business. To motivate staff to get involved in quality improvement activities.	The interviewee wasn't aware of its use for any of the uses listed.		Although the interviewees had personal views on a variety of ways in which the EFQM Model had been used, its main use had been in self-assessment and it had motivated some staff to get involved in quality improvement activities.
5.6 Was the EFQM Model aligned with other organisational systems? E.g. Subject Review, Institutional Audit, Individual Performance Appraisal System, Internal Quality Reviews.	• Implementation and Evaluation Phase • Integration • Alignment with other organisational systems	No.	No.	No.	No.		The EFQM Model had not been aligned with other organisational systems.
6 GENERAL							
6.1 Has anything else that we haven't already discussed helped in the EFQM implementation?		No.	No.	No.	Positive support for change within the improvement groups, but this was not linked into wider use of the model.		There had been some positive support for change within the improvement groups, which had helped the implementation.

6.2 Has anything else that we haven't already discussed hindered the EFQM implementation?		The politics of 2 HoDs involved in improvement projects not wanting to *"rock the boat"* with the HoS. Managers in the school without management experience. Some managers *"coasting in to retirement"*. The school's SMT not seeing the need for improvement. The lack of a clear direction for the school and lack of measurement of progress.	No.	No.	The EFQM Model had not really been used or implemented.		In terms of other hindrances to the implementation, the project manager had concerns about politics within the school's SMT, the lack of management experience of managers in the school, the lack of motivation of some managers who were close to retirement, the School's SMT not seeing the need for improvement and the overall lack of a clear direction in the school.
6.3 How were these hindrances overcome?		They weren't.	Not applicable.	Not applicable.	They weren't.		The hindrances weren't overcome.

6.4 How would you assess your level of EFQM implementation? A table used by PriceWaterhouseCoopers to assess the different levels of usage of the Excellence Model was shown to the interviewee who was asked to indicate which level they thought their organisation was at to the nearest half level. See appendix 5.		The lower half of the entry level.	The lower half of the entry level.	The upper half of the entry level.	The lower half of the entry level.		The balance of the views was that the level of implementation was in the lower half of the entry level.

Appendix 8: Case Study 'A' Document List

Document Reference	Document Name	Date
A(i)	Project Plan	27/9/00
A(ii)	Subjective Self-Assessment.	1/8/00
A(iii)	1st Project Board Meeting- agenda and notes	22/11/00
A(iv)	2nd Project Board Meeting	14/2/01
A(v)	Summary of Academic and Support group workshops 7 and 12 March 2001	7 and 12/3/01
A(vi)	3rd Project Board Meeting	31/5/01
A(vii)	Summary of Improvement Projects	13/12/01
A(viii)	4th Project Board Meeting	19/12/01
A(ix)	Improvement Project Meeting Notes	5/2/02
A(x)	Memo from a improvement project team to all school staff	11/2/02
A(xi)	Improvement Project 4th Meeting Notes	18/2/02
A(xii)	5th Project Board meeting	4/4/02
A(xiii)	6th Project Board Meeting	17/9/02

Appendix 9: Case Study 'B' Interview and Document Analysis

Interview Section or Question	Phase or Element of the Theoretical Framework	Interviewee B1 Responses	Interviewee B2 Responses	Interviewee B3 Responses	Interviewee B4 Responses	Documentary Evidence or participant observation (in italics)	Pattern emerging/ Summary
1. INITIAL DECISION	• Decision Phase						
1.1 When was the EFQM Excellence Model first considered?	• Pace	Some time prior to September 2000, when the project manager joined.	Late 1999.	About 2000/2001.	Around 2 and 1/2 years ago. The interviewee's school had considered it prior to this.	Document B(i), "Email from author to Faculty Executive re: Quality Working Group" 7/10/99 and document B(iv), "Written notes of a meeting of the Quality Improvement Group with 2 HoSs to collect requirements for quality improvement" 28/2/00 and document B(v), "Notes of Quality Group meeting" 2/3/00 show that the Faculty were considering a system for managing quality at that time. Document B(ii), "Email from author to Quality Working Group members re: outcomes of meeting on 14/2/00" shows that the EFQM Excellence Model was being considered. Document B(vi), "Presentation by	The EFQM Excellence Model was first considered by the Faculty in October 1999 via a Quality Improvement Group.

						Quality Working Group to Faculty Executive" 29/3/00 shows that the group recommended the use of the EFQM Excellence Model to the group.	
1.2 Were any alternatives considered?	• Decision Phase • Motive • Alternatives considered	Yes, a few alternatives had been considered by a working group set up by the Faculty Executive. However the EFQM Excellence Model was considered by the working group to best fit the Faculty's requirements for a broad model to manage and improve quality.	No.	The interviewee wasn't aware of any.	Yes, the Balanced Scorecard and possibly some others.	Document B(ii), "Email from author to Quality Working Group members re: outcomes of meeting on 14/2/00", Document B(iii), "Email from Quality Working Group member to group members re: outcomes of meeting on 14/2/00" dated 17/2/00 and Document B(vi), "Presentation by Quality Working Group to Faculty Executive" 29/3/00 show that a number of alternatives to the EFQM Model were being considered. Balanced Scorecard, Learning Company Framework, EQUIS, Charter Mark and Best Value.	A number of alternatives were considered. These were Balanced Scorecard, Learning Company Framework, EQUIS, Charter Mark and Best Value.

1.3 When was the decision made to use the EFQM Excellence Model?	• Decision Phase • Pace	Around June 2000.	Early 2000	About 3 years ago.	Around 2 years ago.	Document B(vii), "Email from author to Quality Working Group members re; Faculty Executive presentation" 31/3/00 shows that a qualified decision to use the model was made on 29/3/00. Document B(viii), "Presentation by Quality Working Group to Faculty Executive" 23/10/00 was an attempt to sell the benefits of the EFQM Model to the Faculty Executive and address the issues raised in the previous presentation.	A qualified decision to use the model was made on 29/3/00. A final decision was taken on 23/10/00.

1.3.1 Who made this decision?	• Decision Phase • Motive • Support for the decision	At a University level, the decision to take part in the HEFCE GMP 143 project was taken by one of the University's Pro Vice Chancellors and the Director of a Centre within the University that had significant experience in using the Excellence Model in other contexts. At a Faculty level the decision was taken by the Faculty Executive Group.	The Faculty Executive.	The Faculty Executive.	The Faculty Executive led by the previous Dean. A working group had recommended its adoption.	Document B(vii), "Email from author to Quality Working Group members re; Faculty Executive presentation" 31/3/00 shows that the Faculty Executive made the decision.	The Faculty Executive made the decision.
1.3.2 Was this decision fully supported by the decision-making group?	• Decision Phase • Motive • Support for the decision	No. The Dean at the time wanted *"proof"* that the model would provide benefits and had alternatives like the Balanced Scorecard that he seemed keen on. Within a year of the decision to go ahead he had moved to a PVC position. The Project Manager felt that there was some ***"resilience"*** to the decision rather than resistance.	Yes.	Yes.	The interviewee was not sure if the decision could be described as "fully supported". There were no objections raised.	Document B(vii), "Email from author to Quality Working Group members re; Faculty Executive presentation" 31/3/00 showed that the decision to use the EFQM Model was a qualified one. It was conditional on the working group showing how the EFQM Model would incorporate current initiatives and potential future initiatives.	Two interviewees felt that the decision had been fully supported, however 2 interviewees had some doubts about this. The documents show that the initial decision was a qualified one.

1.4 What was/were the motive(s) for using the EFQM Model?	• Decision Phase • Motive	Not sure. The idea of using the EFQM Excellence Model had been taken at the PVC level. The Faculty had in effect been *"co-opted"*. The Project Manager was not party to any discussion on motives and was not specifically informed of them at any later date.	To streamline processes. *"To make things work better for us"* (but it would be tough to do). To get everyone working to the same principles. To increase awareness of what was needed to do.	To improve strategic planning and to develop the *"enterprising attitude"* in the Faculty. There were other Universities and other parts of the interviewee's University involved in the pilot, so it seemed a good idea to be involved.	There were several, particularly it was seen as a way of demonstrating the quality of the schools in a broader sense as some schools had felt "hard done by" in recent Teaching Quality Assessments. It was also seen as a means of dealing comprehensively with the extra work demanded by the various Quality Assurance obligations.	Document B(vi), "Presentation by Quality Working Group to Faculty Executive" 29/3/00 shows that the Faculty were looking for a "system" to manage quality in its broadest sense.	The interviewees expressed a number of individual opinions on the motives for using the EFQM Model but no shared view of the motive emerged from these. The documentation showed that the Faculty waslooking for a system to manage quality in its broadest sense.

1.5 What were the intended uses of the EFQM Excellence Model? (A list of possible uses derived from the literature review was provided for the interviewee to select from along with an '*other*' option).	• Decision Phase • Motive • Intended uses of the model	From the view of the Project Manager and the "central team" (PVC and Centre Director) they were all intended uses except for *A means of gaining a quality award.* The main intended use was as a *Self-assessment framework to aid improvement.* The Project Manager however was unclear what the intended uses were from the Faculty Executive's point of view.	Self-assessment framework to aid improvement Strategic Tool (For business and strategic planning). To provide a holistic, broader view of the business Performance Management Tool Benchmarking Tool A means of integrating other quality and management initiatives and tools To motivate staff to get involved in quality improvement activities	Self-assessment framework to aid improvement. Strategic Tool To provide a holistic, broader view of the business Benchmarking tool.	Self-assessment framework to aid improvement. Benchmarking tool. A means of integrating other quality and management initiatives and tools. To motivate staff to get involved in quality improvement activities (to a lesser extent).		There was a consistent view that the EFQM Model would be used as a self-assessment framework to aid improvement, however there was no shared view about other intended uses. This supports the Project Manager's statement that it was unclear what the intended uses were from the Faculty Executive's point of view.

1.6 What were the expected benefits of using the EFQM Excellence Model? (Were clear objectives set?)	• Decision Phase • Motive • Objectives and expected benefits	These were highlighted in a number of presentations to the Faculty Executive both in the period when the model was being considered and after the decision was made to use it. This was done with what the Project Manager described as *"two separate Execs"* because of significant changes in personnel on the Faculty Executive. He felt that the first Faculty Executive Group had not really subscribed to the potential benefits of using the EFQM Excellence Model, he had a feeling that they felt they had been "*over sold*" it. He felt there was some resistance from the second executive, but this had a *"different feel"* to the first one. He got the feeling that some of the Faculty Executive	A consistent management model for the schools. Improved understanding and awareness of University procedures. Clear expectations of processes. Seeing how procedures fit together. Capturing knowledge.	The EFQM Model would provide a way of evaluating new initiatives. To provide more direction, less *"scattergun"*.	These were not expressed explicitly but the main aims were to address the issues mentioned under motives (see section 1.4).	Document b(viii), "presentation by Quality Working Group to Faculty Executive" 23/10/00 listed 4 expected benefits of using the EFQM Model: It allows organisations to take stock of their approaches and identify how to re-focus their improvement activities. It allows them to measure their improvement process and track progress over time. It can help them to make sense of all the various improvement initiatives and not only communicate these to all staff but also evaluate the true effectiveness of some of the improvement approaches that have been used. It can help organisations to better understand the linkages between results (such as customer and people satisfaction) and key	There was no consistent view of the expected benefits of using the EFQM Model and no clear objectives were set for its use.

		members were fearful of the model as it might highlight certain inadequacies in their own performance.				processes of the business.	
1.7 What were the expected timescales in which the benefits would be accrued?	• Decision Phase • Motive • Objectives and expected benefits	The Project Manager's view was that it would take about 5 years to achieve significant benefits. There wasn't going to be *"Instant Pudding"*. He sensed that some of the Faculty Executive felt that other methods might bring quicker results. He also felt that it would be difficult to get support for such a long-term initiative as the members of the group had fixed terms of office of 4 years.	2-3 years.	It would be a *"medium-haul"* of 2-3 years.	There would be an initial pilot in one school in the Faculty. The interviewee didn't remember a discussion, but the interviewee's own view is that it would take around 3 years.		Generally the expected timescales in which the benefits would be accrued was around 3 years. The project manager had concerns that it might be difficult to get support for such a long-term initiative as the members of the group had fixed terms of office of 4 years.

2. GAINING SENIOR MANAGEMENT COMMITMENT (SMC)	• Preparation Phase • Gaining Senior Management Commitment						
2.1 Which actions were taken to gain senior management commitment?	• Preparation Phase • Gaining Senior Management Commitment	The Project Manager had individual meetings with both of the Deans who were in post during the timescale of the project and all three Associate Deans and most of the 5 Heads of School (by invitation). Between September 2000 and June 2002. Presentations to the Faculty Executive. Early and late 2000. A workshop with the Dean's Advisory Group using RADAR Logic. September 2002. Meetings with 2 out of the 5 School Executives. Early 2001. An open event for the IQA that was attended by members of one school's executive. October 2001.	Awareness presentations to the Faculty Executive (2 about 6 months apart). Discussions at the Faculty Executive. Presentations to 2 of the 5 school executives. One about 6 months into the project and one about 12 months in.	Presentations were made to the Faculty Executive by a working group, which the Faculty Executive had set up to look at models for broadly managing quality. There wasn't much else. The interviewee had concerns about piloting the implementation in one school. By doing this it was "taken away from the Faculty".	The working group had made presentations to the Faculty Executive in order to get the approval of the Dean. The interviewee thought that the Dean may have taken the idea to the University's Senior Management Team	Document B(vi), "Presentation by Quality Working Group to Faculty Executive" 29/3/00 shows that the group outlined the EFQM Model to the Faculty Executive, demonstrated how it met their stated requirements and provided a rationale for choosing it over possible alternatives. Document B(viii), "Presentation by Quality Working Group to Faculty Executive" 23/10/00 was an attempt to sell the benefits of the EFQM Model to the Faculty Executive and address the issues raised in the previous presentation.	A number of actions took place to try to gain SMC. Two presentations to the Faculty Executive (29/3/00 and 23/10/00). Individual meetings between the Project Manager and both of the Deans who were in post during the timescale of the project. Presentations to 2 out of the 5 School Executives. One around January 2001 and one around April 2002 A workshop using RADAR logic with the Dean's Advisory Group in September 2002. One interviewee had concerns about piloting the implementation in one school. By doing this it was "taken away from the Faculty".

2.2 When were these actions taken?	• Preparation Phase • Gaining Senior Management Commitment • Pace	See above.	The presentations to the Faculty Executive took place within the first 6 months.	2000.	Around 2 years ago.		See above for dates.
2.3 Who did this?	• Preparation Phase • Gaining Senior Management Commitment	The Project Manager with the exception of the presentations to the Faculty Executive which were done by a project group which had been set up by the Faculty Executive to look at quality models.	The presentations to the Faculty Executive were done by a working group, which had been set up by the Faculty Executive to look at quality models. The presentations to the School Executives were done by the Project Manager supported by the Head of School that had been chosen to pilot the EFQM Model in the Faculty.	The working group.	The presentations to the Faculty Executive were done by the working group led by one of the Heads of School. It was presumed that the Dean had taken the idea to the University's Senior Management Team.		The presentations to the Faculty Executive were done by a working group, which had been set up by the Faculty Executive to look at quality models. The presentations to the School Executives were done by the Project Manager supported by the Head of School that had been chosen to pilot the EFQM Model in the Faculty.
2.4 To what extent do you think senior management commitment was gained? A Likert Scale was provided which ranged from 1 *None* to 7 *Full.*	• Preparation Phase • Gaining Senior Management Commitment	2	5	5	3		Mean = 3.75 Range 2 to 5 There were mixed views on the level of SMC that was gained. None thought that there was full commitment.

3. PREPARATION	• Preparation Phase						
3.1 Were any **change models** considered for use during the implementation? (e.g. force field analysis) Yes/No	• Preparation Phase • Planning • Resistance to Change	No change models were used, however the project manager did use a "stage-gate" model that he had developed based on project management principles.	No.	No.	No. Not specifically for the EFQM Excellence Model implementation. At the start of the Faculty, Kotter's change model had been used to help set up the Faculty.		No change models were considered for use in the implementation.
3.1.1 If so, how were they used and when?	• Preparation Phase • Planning • Resistance to Change • Pace	This approach was used early in the project and was detailed in the Project Workbook.	Not applicable.	Not applicable.	Not applicable.		Not applicable.
3.1.2 If so why were they used?	• Preparation Phase • Planning • Resistance to Change	The project manager had used the approach successfully elsewhere.	Not applicable.	Not applicable.	Not applicable.		Not applicable.
3.2 Were the motive and objectives in using the EFQM Excellence Model communicated to staff? Yes/No	• Preparation Phase • Planning • Communication • Resistance to Change	It was agreed to do this at the Faculty Executive. The name "Excellence Model" would be down-played. Rather the approach would be one of introducing a "change" model.	No. Not in a wholesale way. It was left with Heads of Schools to communicate it to their schools.	No.	No, not in the interviewee's own school. The interviewee thought that there may have been some communication in the pilot school.	*There was no Faculty-wide communication about the EFQM implementation.*	The motive and objectives in using the EFQM Excellence Model were not communicated to staff

3.2.1 If so, how and when?	• Preparation Phase • Planning • Communication • Pace	Even though this communication had been agreed, it didn't actually occur. The fact that the Faculty Executive had decided to use the EFQM Excellence Model wasn't communicated to staff in the Faculty.	Not applicable.	Not applicable.	Not applicable.		Not applicable.
3.3 Culture/Context	• Preparation Phase • Planning • Culture/context assessment						
3.3.1 Was there an attempt to assess the organisational culture? Yes/No.	• Preparation Phase • Planning • Culture/context assessment	No.	No.	No.	No. There was no formal attempt to do this in the Faculty Executive. The interviewee didn't know if this had been done elsewhere.	*The Faculty Executive did not address this.*	There was no attempt to assess the organisational culture.
3.3.2 If so, how and when?	• Preparation Phase • Planning • Culture/context assessment • Pace	Not applicable.	Not applicable.	Not applicable.	Not applicable.		Not applicable.
3.3.3 Were any of the following aspects of culture/context taken into consideration in the preparation?	• Preparation Phase • Planning • Culture/context assessment						

3.3.3.1 Management Style? Yes/No.	• Preparation Phase • Planning • Culture/context assessment	No.	Yes.	No.	No, not specifically, although it was difficult to remember as there were so many management initiatives taking place at the same time.		There was no collective attempt to assess the management style.
If yes, which issues were considered?	• Preparation Phase • Planning • Culture/context assessment	Not applicable.	There was a mixture of management styles within the Faculty. Some of these styles meant that there might be a "clash" with the idea of having consistent processes. There was some concern about the lack of a "senior management champion" from the Faculty Executive. (Personal view).	Not applicable.	Some discussion, however the interviewee couldn't remember the detail.		One interviewee had some concern about the lack of a "senior management champion" from the Faculty Executive.
How would you assess the management style? A seven point Likert scale was provided ranging from 1 *Collegial* to 7 *Managerial.*	• Preparation Phase • Planning • Culture/context assessment	1	2	5 At the start of the project.	2		Mean = 2.5 Range 1 to 5 The management style was seen to be towards the collegial end of the scale, but one interviewee thought it had been more managerial at the start of the project.

3.3.3.2 Individualism of academic staff? Yes/No.	• Preparation Phase • Planning • Culture/context assessment	Yes (by the Project Manager).	No.	No.	No, not specifically to do with the EFQM implementation.		Only the project manager had considered the issue of staff individualism. It was not considered by the Faculty Executive.
If yes, which issues were considered?	• Preparation Phase • Planning • Culture/context assessment	Academic Freedom *"Staff not really managed"* Staff have *"own agendas"* It was recognised that it would not be possible to impose the use of the EFQM Excellence Model on staff.	Not applicable.	Not applicable.	There was some general discussion of this issue but it was not fed into any action.		The Project Manager thought that it would not be possible to impose the use of the EFQM Model on staff and that they had "their own agendas".
How would you assess the level of academic staff individualism? A seven point Likert scale was provided ranging from 1 *Individual* to 7 *Teamworking.*	• Preparation Phase • Planning • Culture/context assessment	1 Although there were pockets of teamwork.	The whole range with many staff at either end of the scale.	4 But there is the full range.	2 But ranging from 1 to 6.		Mean = 2.75 Range 1 to 7 There was a full range of views from staff being highly individualistic to being team orientated. The tendency was towards individualism.
3.3.3.3 Professional nature of academic staff? Yes/No.	• Preparation Phase • Planning • Culture/context assessment	Yes.	No.	No.	No.		The professional nature of academic staff was only considered by the project manager.
If yes, which issues were considered?	• Preparation Phase • Planning • Culture/context assessment	These were linked to individualism.	Not applicable.	Not applicable.	It was assumed that staff behaved professionally.		

To what extent do you think that the academic staff see themselves as professionals? A seven point Likert scale was provided ranging from 1 *Low* to 7 *High.*	• Preparation Phase • Planning • Culture/context assessment	6 to 7 Although the project manager felt that most customers would only view the staff at 1 or 2 on this scale.	6 to 7	6	6 to 7		Mean = 6.4 Range 6 to 7 The perception was that staff saw themselves as professionals.
3.3.3.4 Academic Freedom/critical nature of academic staff? Yes/No.	• Preparation Phase • Planning • Culture/context assessment	Yes.	Yes.	No.	No.		The issue of the academic freedom and criticality of staff was not considered collectively. It was considered by the project manager and the Faculty Administrator.
If yes, which issues were considered?	• Preparation Phase • Planning • Culture/context assessment	The need for change would be difficult to get across. The EFQM Model might challenge academic freedom, for example by emphasising a customer focus. The model might suggest possible policy changes, which could impact on academic freedom.	The standardisation of systems would clash with academic freedom. An attitude of *"If it ain't broke, don't fix it".*	Not applicable.	Not applicable.		The need for change would be difficult to get across. The EFQM Model might challenge academic freedom, for example by emphasising a customer focus. The model might suggest possible policy changes, which could impact on academic freedom. The standardisation of systems would clash with academic freedom. An attitude of *"If it ain't broke, don't fix it".*

How much academic freedom and criticality do you think the academic staff exercise? A seven point Likert scale was provided ranging from 1 *Low* to 7 *High.*	• Preparation Phase • Planning • Culture/context assessment	6 to 7	5 to 6	6	7		Mean = 6.25 Range 5.5 to 7 Academic staff were seen as exercising a great deal of academic freedom and criticality.
3.3.3.5 Recognition/Rewards for involvement in EFQM implementation? Yes/No/Not considered.	• Preparation Phase • Planning • Culture/context assessment	Yes, this was considered.	Not considered.	Not considered.	Not considered.		There was no collective consideration of whether there would be rewards and /or recognition for staff involved in the EFQM implementation.
If yes, why and which forms of recognition/ rewards were planned?	• Preparation Phase • Planning • Culture/context assessment	It was decided that there would be no rewards linked to the implementation of the model.	Not applicable.	Not applicable.	Not applicable.		Not applicable.
If no, why not?	• Preparation Phase • Planning • Culture/context assessment	The University rewards and recognition system doesn't allow for this.	Not applicable.	Not applicable.	Not applicable.		Not applicable.

3.3.3.6 Language/Terminology used in the EFQM Excellence Model. Was it tailored to suit the culture/context? Yes/No/Not considered.	• Preparation Phase • Planning • Culture/context assessment	Yes.	Not considered.	Yes.	Not considered. The interviewee felt OK with the terminology, partly because it was familiar terminology within the academic context of the Faculty and partly because the Faculty environment was one in which people were used to taking on new approaches.	*This was not considered by the Faculty Executive.*	The language and terminology of the EFQM Model was not considered by the Faculty Executive. The project manager and the 2nd Dean considered this individually.
If yes, why and what changes were made?	• Preparation Phase • Planning • Culture/context assessment	Not mentioning the Excellence Model. Use *"commonsense"* terms. The term "Knowledge" within the model to be expressly used as a reference to knowledge as a management resource rather than knowledge as the intellectual capital of the University.	Not applicable.	In presentations, examples were used that were linked to HE issues.	Not applicable.		Not mentioning the Excellence Model. Use *"commonsense"* terms. The term "Knowledge" within the model to be expressly used as a reference to knowledge as a management resource rather than knowledge as the intellectual capital of the University. In presentations, examples were used that were linked to HE issues.

If no, why not?	• Preparation Phase • Planning • Culture/context assessment	Not applicable.	Not applicable.	Not applicable.	Not applicable.		Not applicable.
3.3.3.7 Department/School/Faculty culture of support. Yes/No.	• Preparation Phase • Planning • Culture/context assessment	Yes.	No.	No.	The interviewee was unsure whether this had been discussed		Only the project manager considered the issue of the Faculty culture of support.
If yes, which issues were considered?	• Preparation Phase • Planning • Culture/context assessment	Only pockets of the Faculty are supportive of change generally. Some individuals were supportive of the use of the EFQM Excellence Model.	Not applicable.	Not applicable.	Not applicable.		Only pockets of the Faculty are supportive of change generally. Some individuals were supportive of the use of the EFQM Excellence Model.
Which of the points on this scale best describes the culture of support in your DepartmentSchool/Faculty? A seven point Likert scale was provided ranging from 1 *blame/fear* or *unsupportive/uncooperative* to 7 *supportive/cooperative.*	• Preparation Phase • Planning • Culture/context assessment	2 This came from the top levels of the University management and therefore became an expected style further down. It was partly because of the lack of management training for post-holders. It was partly because of the fixed-term appointments of post-holders.	6 to 7	5 to 6 There are some staff who are *"suspicious"* of new initiatives.	6		Mean = 5 Range 2 to 6.5 The three members of the Faculty Executive felt that the culture of the Faculty was supportive. The Project Manager felt that it was unsupportive. The 2nd Dean thought that there were some staff who are *"suspicious"* of new initiatives.

3.4 Issues specific to the use of the EFQM Excellence Model	• Preparation Phase • Planning • EFQM Model specific choices						
3.4.1 Which approach to self-assessment was chosen? A list of possible approaches was provided derived from the literature review.	• Preparation Phase • Planning • EFQM Model specific choices	Pro-forma approach.	Workshop approach (used with the Dean's advisory group).	Hybrid approach, a mix of workshop and pro-forma.	The interviewee didn't know.	Document B(ix), "Consortium Programme Management Framework" 8/8/00 indicates that self-assessment will be carried out by interviews using questionnaires.	There apparently was great confusion about which approach to self-assessment was used. The documentation indicated that interviews would be used, the project manager used pro-formas whilst other interviewees thought that workshops and pro-formas had been used.
Why was this approach chosen?	• Preparation Phase • Planning • EFQM Model specific choices	It was a *"done deal"*. The Centre who had previous experience with the model had around 7 years experience with this approach in other sectors.	It allowed the group to work as a team to achieve shared objectives. It allowed issues and concerns to be debated.	The Project Manager was taking into account the way of working in the Faculty.	Not applicable.		As the interviewees all had different recollections of the approach used for self-assessment, there was no consistent view on the reason for the choice.
3.4.2 Was a decision taken on whether to use scoring as part of the self-assessment process? Yes/No/Not considered.	• Preparation Phase • Planning • EFQM Model specific choices	It was decided not to use scoring.	The interviewee wasn't sure.	It was decided not to use scoring.	The interviewee thought a decision had been taken to use scoring.	*The Faculty Executive decided not to use scoring. This was debated at length.*	The Faculty Executive decided not to use scoring. This was debated at length.

If yes, why?	• Preparation Phase • Planning • EFQM Model specific choices	Not applicable.	Not applicable.	Not applicable.	Measurement is needed in order to judge improvement.		Not applicable.
What were the intended uses of the scores?	• Preparation Phase • Planning • EFQM Model specific choices	Not applicable.	Not applicable.	Not applicable.	In order to provide feedback on progress. In order to prioritise areas for improvement.		Not applicable.
If no, why not?	• Preparation Phase • Planning • EFQM Model specific choices	It was decided by the Faculty Executive and the expert centre not to use scoring because of a fear of *"score chasing"* rather than improvement. This partly came from experiences elsewhere.	Not applicable.	Other scoring was already in place, e.g. RAE, TQA. Scoring with the EFQM Model might have led to resistance.	Not applicable.	*The Faculty Executive did not want yet another scoring assessment, e.g. RAE, TQA. It was felt that it would be better to concentrate on areas for improvement.*	The Faculty Executive did not want yet another scoring assessment, e.g. RAE, TQA. It was felt that it would be better to concentrate on areas for improvement.
3.4.3 Was a decision taken on whether to amend the criterion weightings given in the model? Yes/No/Not considered.	• Preparation Phase • Planning • EFQM Model specific choices	Not considered because scoring wasn't going to be used.	Not considered.	Not relevant as scoring wasn't being used.	Not considered.	*Not considered.*	Not considered.
If yes, why and what were they changed to?	• Preparation Phase • Planning • EFQM Model specific choices	Not applicable.	Not applicable.	Not applicable.	Not applicable.		Not applicable.

If no, why were they used as in the model?	• Preparation Phase • Planning • EFQM Model specific choices	Not applicable.	Not applicable.	Not applicable.	Not applicable.		Not applicable.
3.4.4 Was a decision made to use RADAR logic in the implementation? Yes/No/Not considered.	• Preparation Phase • Planning • EFQM Model specific choices	Yes.	Yes.	Yes.	Not considered.		A decision was made to use RADAR logic in the implementation.
If yes, why and how?	• Preparation Phase • Planning • EFQM Model specific choices	Used to pre-empt the use of the full model. A nice, simple introduction, not overwhelming. Some simple improvements could be introduced based on RADAR Logic.	To set key results areas.	It was the Project Manager's suggestion. It seemed like a logical approach. To generate the results required by the Faculty (Key Performance Results).	Not applicable.		RADAR logic was used to set key results areas.
If no, why not?	• Preparation Phase • Planning • EFQM Model specific choices	Not applicable.	Not applicable.	Not applicable.	Not applicable.		Not applicable.
3.5 Demonstrating Senior Management Commitment	• Preparation Phase • Planning • Demonstrating SMC						

What actions were planned in order to demonstrate SMC to the implementation?	• Preparation Phase • Planning • Demonstrating SMC	A number of actions based on a modified approach, which had been developed by the expert centre were planned by the project manager and this approach was shared with the second Dean and the Faculty Administrator. In the third year of the project there was a planned message from the Faculty Executive to the staff in the Faculty to demonstrate their commitment to the use of the EFQM Excellence Model, but this communication didn't happen.	To use workshops. There were no specific plans. The Heads of Schools were to take information about the implementation back to the schools from the Faculty Executive. The interviewee was concerned that the Dean wouldn't devote time to it.	None.	The interviewee didn't remember any.		There were no specific plans for how SMC to the implementation would be demonstrated, although the project manager had some ideas on how this might have been done.
Why were these approaches chosen?	• Preparation Phase • Planning • Demonstrating SMC	The Expert Centre had used them in successful implementations elsewhere.	The interviewee wasn't sure.	Not applicable.	Not applicable.		Not applicable.

3.6 Project Management	• Preparation Phase • Planning • Project Management						
3.6.1 Was a Steering Committee set up? Yes/No.	• Preparation Phase • Planning • Project Management	No, not at the Faculty level.	No.	No.	No, not formally. The working group that was tasked with recommending a quality model to the Faculty Executive didn't carry on into the implementation phase. The Faculty Executive didn't steer the project. Once the pilot school was identified, the implementation was not really considered by the Faculty Executive.	*No.*	A steering committee wasn't set up in the Faculty. The Faculty Executive didn't steer the project. Once the pilot school was identified, the implementation was not really considered by the Faculty Executive.

If yes, why, when and who was involved?	• Preparation Phase • Planning • Project Management • Pace	A steering group was set up at the University level for the wider project. It was made up of the PVC who had first decided to get involved in the HEFCE project, a Head of School from the Faculty, a representative of the Enterprise Division and a representative from the other Faculty that were implementing the EFQM Excellence Model. The Project Manager believes it was set up for the wrong reasons. The PRINCE2 project management methodology had been adopted by the consortium of universities in the HEFCE project and this said that this should be done. This group only met once or twice. The project manager put this down to changes in post-holders and the resulting lack of continuity.	Not applicable.	Not applicable.	Not applicable.		A steering group was set up at the University level for the wider project. It was made up of the PVC who had first decided to get involved in the HEFCE project, a Head of School from the Faculty, a representative of the Enterprise Division and a representative from the other Faculty that were implementing the EFQM Excellence Model. The Project Manager believes it was set up for the wrong reasons. The PRINCE2 project management methodology had been adopted by the consortium of universities in the HEFCE project and this said that this should be done. This group only met once or twice. The project manager put this down to changes in post-holders and the resulting lack of continuity.

3.6.2 Was a Project Manager appointed? Yes/No.	• Preparation Phase • Planning • Project Management	Yes.	Yes.	Yes.	Yes.		A project manager was appointed.
If yes, when?	• Preparation Phase • Planning • Project Management	September 2000 (The HEFCE project started in June 2000). Many decisions had been taken prior to the Project Manager starting.	Summer 2000.	September 2000.	About 2 years ago. The interviewee wasn't aware that a half-time project manager had been appointed. The interviewee thought that the leader of the Quality working group had been the project manager.		This happened in September 2000. One interviewee wasn't aware that a half-time project manager had been appointed. The interviewee thought that the leader of the Quality working group had been the project manager.
Did the Project Manager have previous knowledge of or experience with the EFQM Excellence Model?	• Preparation Phase • Planning • Project Management	He had been trained as an EFQM Excellence Model assessor in 1995.	Yes.	The interviewee wasn't aware.	The interviewee didn't know.		The Project Manager had been trained as an EFQM Excellence Model assessor in 1995.
Did the Project Manager have previous project management experience?	• Preparation Phase • Planning • Project Management	Yes, he had managed projects in industry for around 10 years. He had no previous experience of the PRINCE2 project management methodology.	Yes.	Yes.	The interviewee didn't know.		The project manager had previous experience of managing projects.
What training did the Project Manager receive and when?	• Preparation Phase • Planning • Project Management • Pace	He was retrained as an EFQM Excellence Model assessor in October 2000 and in PRINCE2 project management methodology in December 2000.	The interviewee wasn't aware of this.	EFQM training through an expert centre within the University.	The interviewee didn't know.		The project manager was retrained as an EFQM Excellence Model assessor in October 2000 and in PRINCE2 project management methodology in December 2000.

3.6.3 Was a project plan constructed? Yes/No.	• Preparation Phase • Planning • Project Management	Yes.	No.	The interviewee wasn't aware of one. If the Project Manager had a plan then the Faculty Executive wasn't aware of it.	The interviewee couldn't remember a project plan being constructed.	Document B(x), "Presentation by Project Manager to consortium project board" (undated but between June and Sept. 2001) includes an outline plan for rolling the implementation out to the Faculty.	An outline project plan existed but its existence wasn't well known.
Was the pace of implementation considered in the planning, if so how?	• Preparation Phase • Planning • Project Management • Pace	Yes, year one was to involve a pilot in one of the five schools in the Faculty. This was then to be rolled out to the other 4 schools at 3 month intervals.	Not applicable.	Not aware.	The interviewee couldn't recall.	Document B(x), "Presentation by Project Manager to consortium project board" (undated but between June and Sept. 2001) and B(xi), "Email from the Project Manager to the author re: improvement groups and roll out" 9/7/01 include an outline plan with dates.	The pace of implementation was considered in planning. Year one was to involve a pilot in one of the five schools in the Faculty. This was then to be rolled out to the other 4 schools at 3 month intervals.
Who was involved in constructing the project plan?	• Preparation Phase • Planning • Project Management	The Project Manager and the Head of School of the pilot school (referred to as the "local champion") devised the project plan and then had this approved by the Faculty Executive.	Not applicable.	The project manager and the expert centre.	The interviewee wasn't aware who had been involved.		The Project Manager and the Head of School of the pilot school (referred to as the "local champion") devised the project plan and then had this approved by the Faculty Executive although the other interviewees did not recollect this.

Was the implementation piloted and then rolled out or done across the case study organisation?	• Preparation Phase • Planning • Project Management	As described above. Although the model was used to some extent in the pilot school there was no roll-out to the other schools.	It was piloted in one of the five schools in the Faculty. The intention was then to roll it out across the Faculty but this didn't happen.	It was piloted in one of the five schools with the intention of rolling it out across the Faculty, but this did not occur.	The implementation had been piloted in one school in the Faculty but hadn't really been rolled out across the Faculty.	Document B(x), "Presentation by Project Manager to consortium project board" (undated but between June and Sept. 2001) and Document B(xi), "Email from the Project Manager to the author re: improvement groups and roll out" 9/7/01 show the implementation being planned to be rolled out to each of the schools in turn.	The implementation had been piloted in one school with the intention of rolling it out across the Faculty, but this did not occur.
Why was this approach chosen?	• Preparation Phase • Planning • Project Management	To work first with a *"keen"* school. To provide evidence of the model's value to critical academics in the Faculty.	The Dean wanted to pilot it.	The Dean at the time wanted to do it this way.	There was an expert/champion for the EFQM Excellence Model within the pilot school. The benefits gained in the pilot school could be demonstrated to the other schools.	*This was discussed at the Faculty Executive and the Dean wanted to pilot it in one school and then roll it out to the other four.*	The primary reason for this was the Dean at the time had wanted to do it this way. The secondary reason was so that the benefits gained in the pilot school could be demonstrated to the other schools.

Which other major initiatives/projects were taking place at the same time as the EFQM Excellence Model implementation?	• Preparation Phase • Planning • Project Management	A new student information system was being implemented across the university. The project manager was not aware of other initiatives at the time. The impact of other initiatives was not given to him as a reason for lack of progress with the project. A school development day in the pilot school (which had just undergone a merger) had highlighted issues, which could have been tackled by the Excellence Model, but there were very negative feelings about change.	The reorganisation of Schools and Faculties had only just occurred in the previous year (1999) to the project starting. There was a major office refurbishment and staff relocation in 2000 which affected the Faculty Office and two Schools. A workload balancing project was being implemented (1999-2001). There were QAA Subject Reviews in two Schools. RAE 2001. Budgetary issues to address. Much "Firefighting", therefore little time for proactive measures.	An electronically delivered Masters programme was being pushed by the then Dean. There were 3 subject reviews within the Faculty. RAE 2001. A new computerised student information system was being implemented. A new computerised personnel management system was being implemented. There were issues to address after the last Continuation Audit. There had been reorganisations in the Faculty just prior to the project starting.	The development of an electronically delivered Master's degree. The setting of the Faculty strategic direction after the reorganisation of the University's Schools and Faculties. Widening participation project. Process improvements for Teaching Quality Assessments - external pressures. Research Assessment Exercise 2001. A major revamp of the degree scheme within the interviewee's school and similar projects in some of the other schools in the Faculty. The interviewee thought that there had perhaps been too many initiatives. Lots of "initiatives" groups had been set up. The Faculty had been trying to move		A very large number of other major initiatives/projects were taking place at the same time as the EFQM Excellence Model implementation. One interviewee thought that there had perhaps been too many initiatives. Lots of "initiatives" groups had been set up. The Faculty had been trying to move on all fronts at once.

					on all fronts at once.		
3.6.4 How was progress of the project monitored and by whom?	• Preparation Phase • Planning • Project Management • Momentum	The Project Manager regularly reported back to the HEFCE consortium. The Project Manager met regularly with the Project Manager of the other Faculty that were using the model within the university and an expert from the expert centre to review progress and share experiences. Part-way through the project (early in the second year) the Faculty Project Manager for this Faculty also took on the role of Project Manager for the wider university project.	It wasn't.	It wasn't.	The interviewee didn't know.		Only the project manager was aware of the project progress monitoring arrangements. This occurred at the consortium level, there were no arrangements within the Faculty.

3.6.5 What resources were allocated to the project and when?	• Preparation Phase • Planning • Project Management	A half-time project manager/facilitator EFQM self-assessor training was made available through the expert centre but nobody was trained. The Faculty Executive was aware that this resource was available.	Some money. A half-time Project Manager (On reflection, perhaps the Project Manager wasn't "pushy" enough).	A half-time Project Manager from September 2000. Training available from the expert centre, but not accessed.	The project manager. Some of the "champion's" time in the pilot school.		The following resources were allocated to the project: A half-time project manager from September 2000. EFQM self-assessor training was made available through the expert centre but nobody was trained. The Faculty Executive was aware that this resource was available. Some of the "champion's" time in the pilot school.
3.7 Education and Training	• Preparation Phase • Planning • Education and Training						
What education and training was planned to be carried out to support the implementation?	• Preparation Phase • Planning • Education and Training	Self-assessor training.	The interviewee was aware that training was available, but there were no plans for its use.	None.	The interviewee was not sure if any had been planned at the Faculty level.	*Training in self-assessment was available from the expert centre, but this was to be requested by HoSs.*	Although training was available from the expert centre, none was ever requested and therefore none was planned. The project manager had an expectation that some self-assessor training would be carried out in the schools.

Why?	• Preparation Phase • Planning • Education and Training	Self-assessment was needed to identify issues to be addressed. The expert centre had used this approach elsewhere. The project manager had used quality tools elsewhere.	Not applicable.	Not applicable.	Not applicable.		Self-assessment was needed to identify issues to be addressed.
Who for?	• Preparation Phase • Planning • Education and Training	6 staff in each of 5 schools. All the members of the Faculty Executive.	Not applicable.	Not applicable.	Not applicable.		The project manager's hope was that 6 staff in each of the 5 schools and all the members of Faculty Executive would receive self-assessor training.
When?	• Preparation Phase • Planning • Education and Training • Pace	About 3 months into the process for each of the schools (staged rollout) with the aim of schools carrying out their own self-assessments within 12 months. Although this wasn't carried out.	Not applicable.	Not applicable.	Not applicable.		The assessor training would take place about 3 months into the process for each of the schools (staged rollout) with the aim of schools carrying out their own self-assessments within 12 months. Although this wasn't carried out.
Who by?	• Preparation Phase • Planning • Education and Training	By staff from the expert centre and the project manager.	Not applicable.	Not applicable.	Not applicable.		The training would have been carried out by staff from the expert centre and the project manager.

Was an external consultant used? Yes/No.	• Preparation Phase • Planning • Education and Training	No.	No.	An internal consultant. The expert centre.	The interviewee didn't think so.	*The staff of the expert centre were available.*	Internal consultants from the expert centre were available but were not used.
What was the reason for this choice?	• Preparation Phase • Planning • Education and Training	There was significant expertise in the expert centre.	It wasn't considered.	The expert centre had expertise in the use of the EFQM Model in another part of the public sector.	Not applicable.		The expert centre had expertise in the use of the EFQM Model in another part of the public sector.
3.8 Communication	• Preparation Phase • Planning • Communication						
What communication was planned about the implementation?	• Preparation Phase • Planning • Communication	As mentioned earlier in 3.2, communications about the project considered at Faculty Executive, but not communicated.	Faculty Executive members were to *"pass the word down the line"*.	None.	The interviewee didn't remember any plan to do this.	Document B(ix), "Consortium Programme Management Framework" 8/8/00 outlines a communications plan for the overall programme.	Although there was an overall communications plan for the consortium there was no local communications plan.
Why?	• Preparation Phase • Planning • Communication	Because this is good change practice according to the project manager.	This is what the Faculty Executive agreed.	Not applicable.	Not applicable.		Not applicable.

When?	• Preparation Phase • Planning • Communication • Pace	The first time this was considered was in the first year of the project, but at the end of the first year there was a change of Dean in the Faculty. It was later agreed by the Faculty Executive and it was understood that the communication about the use of the EFQM Excellence Model would take place before any self-assessment took place.	The interviewee wasn't sure.	Not applicable.	Not applicable.		Not applicable.
3.9 Planned involvement in the implementation process and use of the EFQM Excellence Model.	• Preparation Phase • Planning • Staff Involvement and Teamwork		This wasn't planned, it wasn't made explicit.	This wasn't planned.			There was no generally understood plan for involving staff in the implementation.
Who?	• Preparation Phase • Planning • Staff Involvement and Teamwork	All of the Faculty Executive group members. Each of the School Executive group members plus around 6 others in each school.	Not applicable.	Not applicable.	The "Champion" in the pilot school. The School Manager of the interviewee's school had been involved in the working group.	B(xi), "Email from the Project Manager to the author re: improvement groups and roll out" 9/7/01 shows a plan to set up an improvement group in the pilot school.	The project manager had a clear idea of who he would have liked to have been involved (The Faculty Executive members, the School Executive members and about 6 other staff in each school). The pilot school had a plan to set up an improvement group but this didn't get

							started.
Why?	• Preparation Phase • Planning • Staff Involvement and Teamwork	These were the people who would have the information needed for self-assessment. They could then act as advocates to involve more people in improvement activities.	Not applicable.	Not applicable.	The interviewee didn't know the reasons why.		These were the people who would have the information needed for self-assessment. They could then act as advocates to involve more people in improvement activities.
How?	• Preparation Phase • Planning • Staff Involvement and Teamwork	Through self-assessment and subsequent improvement activities.	Not applicable.	Not applicable.	The interviewee didn't know.	B(xi), "Email from the Project Manager to the author re: improvement groups and roll out" 9/7/01 shows an intended improvement group in the pilot school.	The project manager's intention was to involve these staff in self-assessment and subsequent improvement activities.
Was the use of teams considered? Yes/No.	• Preparation Phase • Planning • Staff Involvement and Teamwork	Yes.	Yes.	No.	No.	B(xi), "Email from the Project Manager to the author re: improvement groups and roll out" 9/7/01 shows an intended improvement group in the pilot school.	The use of teams was only considered by the project manager and the Faculty Administrator. There was no collective decision to use teams.

If yes, why were teams used and how were they deployed?	• Preparation Phase • Planning Staff Involvement and Teamwork	Teams were to be used to carry out improvement actions, but it was thought this would be difficult in an academic environment. It was planned to use a mix of academic and support staff in the teams. Although this was the plan, it was never deployed.	Faculty Executive. Faculty Office. School Executives. These were considered as teams for self-assessments but weren't deployed.	Not applicable.	Not applicable.		The project manager and the Faculty Administrator had differing views on how teams would be deployed. The Faculty Administrator thought that teams would be used to carry out self-assessments. The project manager thought that teams would be used to carry out improvement actions.
If no, why weren't teams used?	• Preparation Phase • Planning • Staff Involvement and Teamwork	Not applicable.	Not applicable.	It wasn't considered.	The interviewee didn't know.		Although there were some ideas of how teams might be used, they were never set up and deployed.

4. MOMENTUM	• Implementation and Evaluation Phase • Momentum	The first attempt at starting self-assessment in the Faculty was with the Faculty Executive lead by the 2nd Dean (around 2 years into the project). The Project Manager met individually with the Dean, one of the three Associate Deans and the Faculty Administrator. A workshop using RADAR Logic was run with the Dean's Advisory Group (Dean, 3 Associate Deans, Faculty Administrator and faculty Accountant). Unfortunately there was no subsequent agreement on key results. The group spent much of the time challenging the wording of the model. The Project Manager felt that they had lost sight of the original motives because the majority of people hadn't been party to the original decision					The first attempt at starting self-assessment in the Faculty was with the Faculty Executive lead by the 2nd Dean (around 2 years into the project). The Project Manager met individually with the Dean, one of the three Associate Deans and the Faculty Administrator. A workshop using RADAR Logic was run with the Dean's Advisory Group (Dean, 3 Associate Deans, Faculty Administrator and faculty Accountant). Unfortunately there was no subsequent agreement on key results. The group spent much of the time challenging the wording of the model. The Project Manager felt that they had lost sight of the original motives because the majority of people hadn't been party to the original decision to use the model (because of significant changes to

		to use the model (because of significant changes to the membership of the Faculty Executive).					the membership of the Faculty Executive).
4.1 Improvement Planning, Action and Review after self-assessment	• Implementation and Evaluation Phase • Momentum • Improvement Planning, Action and Review		The only real output was a "vision" and key result areas from a workshop that was facilitated by the Project Manager with the Dean's Advisory Group.	It wasn't.			
When was this carried out?	• Implementation and Evaluation Phase • Momentum • Improvement Planning, Action and Review • Pace	It wasn't carried out as there was no real self-assessment attempted.	Improvement planning wasn't carried out as there hadn't been a self-assessment.	Not applicable.	The interviewee didn't know. He thought it may have been done in the pilot school.		Improvement planning, action and review was not carried out.
Who by?	• Implementation and Evaluation Phase • Momentum • Improvement Planning, Action and Review		Not applicable.	Not applicable.	The interviewee didn't know.		Not applicable.

How was this carried out?	• Implementation and Evaluation Phase • Momentum • Improvement Planning, Action and Review	Not applicable.	Not applicable.	Not applicable.	The interviewee didn't know.		Not applicable.
Why was it done in this way?	• Implementation and Evaluation Phase • Momentum • Improvement Planning, Action and Review	Not applicable.	Not applicable.	Not applicable.	Not applicable.		Not applicable.
Was there any particular emphasis? E.g. quick wins, impact.	• Implementation and Evaluation Phase • Momentum • Improvement Planning, Action and Review	Not applicable.	Not applicable.	Not applicable.	Not applicable.		Not applicable.

4.2 Did the implementation progress on schedule? Yes/No.	• Implementation and Evaluation Phase • Momentum • Pace	No.	No.	No.	The interviewee wasn't sure as he wasn't sure of the schedule for the implementation.		The implementation did not progress on schedule.
If not, why not?	• Implementation and Evaluation Phase • Momentum • Pace	The implementation didn't pass the *"first hurdle"* of conducting a self-assessment.	Lack of ownership at a senior level in the Faculty. The Project Manager wasn't forceful enough. The outputs from the Dean's Advisory Group workshop weren't what the Faculty Office expected.	The project slipped in the pilot school. There were several reasons for this. The school had just undergone two mergers within two years and this resulted in other issues for the school to address. In addition, the Head of School changed two years into the project. There were many changes in the senior management of the Faculty.	Not applicable.		The interviewees thought that there were a number of reasons for the implementation nit proceeding on schedule: The implementation didn't pass the *"first hurdle"* of conducting a self-assessment. The Faculty Administrator thought that there was a lack of ownership at a senior level in the Faculty, that the Project Manager wasn't forceful enough and that the outputs from the Dean's Advisory Group workshop weren't what the Faculty Office expected. The Dean thought that the project slipped in the pilot school. There were several reasons for this. The school had just undergone two mergers within

							two years and this resulted in other issues for the school to address. In addition, the Head of School changed two years into the project. There were many changes in the senior management of the Faculty.
How was momentum regained?	• Implementation and Evaluation Phase • Momentum • Pace	It wasn't.	The workshop with the Dean's Advisory Group in September 2002, but the next steps weren't clear.	The Project Manager ran a workshop with the Dean's Advisory Group (DAG). In September 2002 to try to construct some key result areas for the Faculty using RADAR Logic, but this didn't generate the required momentum.	Not applicable.		There was an attempt to regain momentum through a workshop that the project manager ran with the Dean's Advisory Group (DAG). In September 2002 to try to construct some key result areas for the Faculty using RADAR Logic, but this didn't generate the required momentum.
What communication took place to inform staff about progress with the implementation?	• Implementation and Evaluation Phase • Momentum • Communication	None.	There was a discussion about the above workshop at the Faculty Executive on 2 October 2002, but there were some criticisms and concerns expressed by the Dean's Advisory Group members and therefore the attempt to regain momentum stalled.	None.	None, the Faculty wasn't informed about any progress.		No communication took place to inform staff about progress with the implementation.

4.3 Were the expected benefits of using the Excellence Model achieved? Yes/No.	• Implementation and Evaluation Phase • Momentum • Evaluation of benefits	No.	No.	No.	No, at least not yet.		The expected benefits of using the Excellence Model were not achieved.
If not, what were the major barriers to achieving these benefits?	• Implementation and Evaluation Phase • Momentum	The Faculty Executive members were not party to the initial decision. A lack of buy-in.	The lack of senior management commitment, both in terms of devoting time to the project and being visible. The scepticism of new members joining the Faculty Executive who hadn't bought in to the initiative. A *"restart/stall"* cycle emerged.	It wasn't properly implemented. The pilot approach was not successful.	Too many initiatives competing for resources. Priorities were set by external agendas. The EFQM was an internal initiative and therefore wasn't a priority.		There was a range of views on the major benefits to achieving the benefits: A lack of SMC. The scepticism of new members joining the Faculty Executive who hadn't bought in to the initiative. The pilot approach was not successful. There were too many initiatives competing for resources. A concentration on external agendas rather than internal initiatives.
4.4 Do you think the pace of implementation was: too slow, too quick, about right?	• Implementation and Evaluation Phase • Momentum • Pace	Too slow.	Too slow.	Too slow.	Too slow.		The pace of implementation was seen as being too slow.

Why do you think this?	• Implementation and Evaluation Phase • Momentum • Pace	The project was seen as an intrusion. It wasn't seen as valuable.	The workshop with the Dean's Advisory Group wasn't followed up quickly enough by the Project Manager. This wasn't helped by the timing of this - at the start of a new academic year.	The project never properly got off the ground.	A new initiative needs something dramatic to create an impact, otherwise it becomes *"lost in the noise".*		There was a sense that the project never properly got going, there was no obvious impact.
4.5 Was senior management commitment maintained throughout the implementation? Yes/No	• Implementation and Evaluation Phase • Momentum • Demonstrating SMC	No.	No.	No.	No.		SMC was not maintained throughout the implementation.
How was senior management commitment demonstrated during the implementation?	• Implementation and Evaluation Phase • Momentum • Demonstrating SMC	It wasn't in the main, there was some verbal support at meetings with the Faculty Executive.	It wasn't.	It wasn't.	It wasn't really demonstrated. The implementation wasn't visible, it needed to be on the Faculty Executive agenda with progress communicated		SMC was not demonstrated during the implementation, there was no visibility. One of the HoSs felt it needed to be on the Faculty Executive's agenda.
What helped to maintain senior management commitment?	• Implementation and Evaluation Phase • Momentum • Demonstrating SMC	It wasn't maintained.	Nothing.	Nothing.	There was nothing in particular to maintain it.		There was nothing that helped to maintain SMC.

If senior management commitment was not maintained what affected it?	• Implementation and Evaluation Phase • Momentum • Demonstrating SMC	The decision to use the EFQM Excellence Model was seen as an *"imposed"* decision. The decision to use the EFQM Excellence Model was seen as an *"imposed"* decision.	The stop/start cycle. The high turnover of staff in the Faculty Executive. The information supplied by the Project Manager to the Faculty Office wasn't easily understood. The next steps after the workshop with the Dean's Advisory Group weren't clearly defined.	The previous Dean *"sidelined"* it by pushing it into the pilot school.	Too many initiatives. The EFQM Excellence Model implementation wasn't "core", it wasn't integrated.		The interviewees thought that a number of issues had affected SMC: The stop/start cycle. The high turnover of staff in the Faculty Executive. The previous Dean *"sidelined"* it by pushing it into the pilot school. Too many initiatives. The EFQM Excellence Model implementation wasn't "core", it wasn't integrated. The decision to use the EFQM Excellence Model was seen as an *"imposed"* decision. The decision to use the EFQM Excellence Model was seen as an *"imposed"* decision. The information supplied by the Project Manager to the Faculty Office wasn't easily understood. The next steps after the workshop with the Dean's Advisory Group weren't clearly defined.

Were there any changes in senior management during the course of the implementation? Yes/No	• Implementation and Evaluation Phase • Momentum • Demonstrating SMC	Yes.	Yes.	Yes.	Yes.		
If so, which positions and when?	• Implementation and Evaluation Phase • Momentum • Demonstrating SMC	Dean changed one year into the project. All three Associate Deans changed between 1 and 2 years into the project. 4 out of the 5 Heads of School changed between 1 and 2 years into the project. Only one Head of School and the Faculty Administrator stayed in post for the full three years of the project (although 2 other academic staff changed roles but remained on the Faculty Executive group for the 3 year period).	The Dean changed one year into the project. All 3 Associate Deans changed between 1 and 2 years into the project. 4 out of the 5 Heads of School changed between 1 and 3 years into the project. The Faculty Accountant changed 2 years into the project. As a result of this, the interviewee was of the opinion that there was a change in priorities and visions.	The Dean and one of the ADTs in Summer 2001. The ADE in April 2001. The ADR in Summer 2002. Two HoS in Summer 2000. Two HoS in Summer 2002.One HoS in Spring 2003	The Dean changed in 2001. 2 Heads of School changed around the same time as the Dean. 2 more Heads of School changed in 2002. There was a secondary merger of 2 schools in 2000. 2 of the 3 Associate Deans changed in 2001 and the third one in 2002.		There was an extremely high number of changes in the membership of the Faculty Executive. Of the 12 members who had made the decision to use the EFQM Model, only 2 remained at the end of the 3 year period of the HEFCE project. One of these two (the Faculty Administrator) thought that, as a result of this, there was a change in priorities and visions.

To what extent do you think senior management commitment was demonstrated during the implementation? A Likert scale was provided from 1 *None* to 7 *Full.*	• Implementation and Evaluation Phase • Momentum • Demonstrating SMC	2	2	2	2		Mean = 2 Range 0 The shared view was that SMC had hardly been demonstrated at all during the implementation.
4.6 Was the planned level of resources maintained during the implementation? Yes/No	• Implementation and Evaluation Phase • Momentum • Project Management	No.	Yes.	Yes.	The interviewee didn't know.		Apart from a brief period of sickness absence of the project manager, the planned level of resources had been maintained throughout the implementation.
If not, what affected this?	• Implementation and Evaluation Phase • Momentum • Project Management	The Project Manager suffered a short illness half way through the project. This had little effect though because of the lack of demand for his services. He felt that the resource hadn't been utilised.	Not applicable.	Not applicable.	The interviewee wasn't aware.		Not applicable.

If yes, was the level of resources sufficient?	• Implementation and Evaluation Phase • Momentum • Project Management	Yes, but only because of the lack of demand.	Yes, but perhaps a different approach was needed by the Project Manager to overcome the difficulties with senior management commitment.	Yes, but the resources weren't utilised properly.	No, but the interviewee wasn't really aware.		The level of resources was seen as being sufficient, however they weren't utilised properly. One interviewee thought that perhaps a different approach was needed by the Project Manager to overcome the difficulties with senior management commitment.
4.7 Was the planned staff training carried out?	• Implementation and Evaluation Phase • Momentum • Education and Training	No.	None was planned.	None was planned.	The interviewee didn't know.		No training was carried out.
If not, why not?	• Implementation and Evaluation Phase • Momentum • Education and Training	The training that was made available, wasn't taken up by the Faculty Executive.	Not applicable.	Not applicable.	Not applicable.		The training that was made available, wasn't taken up by the Faculty Executive.

What effect did this have on the implementation?	• Implementation and Evaluation Phase • Momentum • Education and Training	The project couldn't proceed beyond the stage of the Project Manager doing self-assessment.	It stalled.	There weren't enough staff who were knowledgeable.	Not applicable.		The lack of training had a negative effect on the implementation. The project couldn't proceed beyond the stage of the Project Manager doing self-assessment because there weren't enough staff who were knowledgeable. As a result the project stalled.
4.8 Was there any recognition of or rewards for staff involved in EFQM implementation?	• Implementation and Evaluation Phase • Momentum • Recognition and Rewards	No.	No.	No.	No, the interviewee wasn't aware of any.		There wasn't any recognition of or rewards for staff involved in the EFQM implementation.
5. INTEGRATION	• Implementation and Evaluation Phase • Integration						
5.1 How many organisational levels was the EFQM Excellence Model implemented in?	• Implementation and Evaluation Phase • Integration • Multi-level use in the organisation	Partly in 2 levels. The Faculty Executive and one pilot school.	It was attempted at 2 levels, Faculty and School.	Partly at the school level (pilot school).	One, in the pilot school (possibly at sub-levels in the pilot school).	*An initial self-assessment took place in the author's school by the project manager interviewing each member of the School Executive.*	The EFQM Model was partly implemented in two levels, the Faculty Executive and one pilot school.

5.2 How was RADAR logic used in the implementation?	• Implementation and Evaluation Phase • Integration • Actual uses of the EFQM Model	It was used with some small groups on particular issues, e.g. Annual Programme Review development. It was used with the Dean's Advisory Group to try to set some key objectives, but this was not concluded.	It was used to develop a vision and key result areas with the Dean's Advisory Group.	To try to set key results with the DAG.	The interviewee didn't know.		RADAR logic was used with some small groups on particular issues, e.g. Annual Programme Review development. It was used with the Dean's Advisory Group to try to set some key objectives, but this was not concluded.
5.3 Was the planned level of staff involvement with the EFQM Excellence Model achieved?	• Implementation and Evaluation Phase • Integration • Staff Involvement and Teamwork	No.	Staff involvement wasn't really planned.	None was planned	The interviewee didn't know.		Staff involvement with the EFQM Model was not achieved.
If not, why not?	• Implementation and Evaluation Phase • Integration • Staff Involvement and Teamwork	Management commitment was not really gained, therefore it was difficult to involve other staff.	Not applicable.	Not applicable.	Not applicable.		The project manager thought that the reason for the lack of involvement of staff was that SMC had not really been gained, therefore it was difficult to involve other staff.

5.4 How many rounds of self-assessment have been carried out and when?	• Implementation and Evaluation Phase • Integration • Actual uses of the EFQM Model • Pace	None have been conducted properly, apart from the attempts outlined earlier.	One, in the pilot school.	One in the pilot school around 2001.	None in the interviewee's own school. Perhaps some in the pilot school, but the interviewee didn't really know.	Document B(x), "Presentation by Project Manager to consortium project board" (undated but between June and Sept. 2001) indicates that a round of self-assessment had taken place in the pilot school. *The author can confirm this.*	The documentation and the participant observer indicated that one round of self-assessment had taken place in the pilot school in early 2001.
5.5 Which of the following has the model actually been used for and how often? (A list of possible uses derived from the literature review was provided for the interviewee to select from along with an *'other'* option).	• Implementation and Evaluation Phase • Integration • Actual uses of the EFQM Model	Self-assessment framework (partly).	Self-assessment framework (once, to a small extent).	Self-assessment framework. Strategic tool (it partially helped the DAG with key results). To provide a holistic, broader view of the business.	The interviewee was unsure if the model had been used for any of the uses listed.		The EFQM Model had been used once (partly) for self-assessment and once as a strategic tool (it partially helped the DAG with key results).
5.6 Was the EFQM Model aligned with other organisational systems? E.g. Subject Review, Institutional Audit, Individual Performance Appraisal System, Internal Quality Reviews.	• Implementation and Evaluation Phase • Integration • Alignment with other organisational systems	No.	No.	No.	No, not at a Faculty level. Perhaps it had been done in the pilot school. It might have been useful to base the Quality Assurance of the University on EFQM.	Document B(viii), "Presentation by Quality Working Group to Faculty Executive" 23/10/00 shows how the various initiatives taking place in the Faculty could be aligned with the EFQM Model.	Although the Quality Working Group had shown in October 2000 how various initiatives could be aligned with the EFQM Model, no attempts were made to align it with other organisational systems.

6 GENERAL							
6.1 Has anything else that we haven't already discussed helped in the EFQM implementation?		Yes. Successful examples of the model's use elsewhere in the University resulted in renewed interest from the 2nd Dean.	No.	No.	No.		The only factor not already mentioned that helped the EFQM implementation was that Successful examples of the model's use elsewhere in the University resulted in renewed interest from the 2nd Dean.
6.2 Has anything else that we haven't already discussed hindered the EFQM implementation?		Lack of consistency in the senior management because of all the personnel changes. The closure of schools and staff redundancies elsewhere in the University produced a climate of fear.	No.	No.	General staff workloads had increased in the time period of the implementation. Changes in the nature of students and relationships with students. Waiting to see *"what will hit us next?"*	Document B(vi), "Presentation by Quality Working Group to Faculty Executive" 29/3/00 brought the attention of the Faculty Executive to the concerns that the group had about how the EFQM Model might be implemented and recommended that an appropriate implementation plan be developed.	Other factors that were perceived to have hindered the EFQM implementation were the closure of schools and staff redundancies elsewhere in the University produced a climate of fear. General staff workloads had increased in the time period of the implementation. Changes in the nature of students and relationships with students. Waiting to see *"what will hit us next?"* The Quality Working Group had recommended back in March 2000 that they had concerns about how the EFQM

							Model might be implemented and recommended that an appropriate implementation plan be developed. No such plan was developed.
6.3 How were these hindrances overcome?		They weren't.	They weren't.	Not applicable.	They weren't. The interviewee was of the opinion that the EFQM Excellence Model would need to be core to the University's quality assurance activity to be successfully implemented.		These hindrances were not overcome. One interviewee was of the opinion that the EFQM Excellence Model would need to be core to the University's quality assurance activity to be successfully implemented.
6.4 How would you assess your level of EFQM implementation? A table used by PriceWaterhouseCoopers to assess the different levels of usage of the Excellence Model was shown to the interviewee who was asked to indicate which level they thought their organisation was at to the nearest half level. See appendix 5.		The lower half of the entry level.	Overall, the interviewee was of the opinion that the level of implementation was in the lower half of the entry level and that this level had been achieved in the early days of the project, 3 years ago.	Overall, the interviewee was of the opinion that the level of implementation was just within the upper half of the entry level.	Overall, the interviewee thought that the level of implementation was in the lower half of the entry level.		The shared view (with one marginal exception) was that the level of EFQM implementation was in the lower half of the entry level.

Appendix 10: Case Study 'B' Document List

Document Reference	Document Name	Date
B(i)	Email from author to Faculty Executive re: Quality Working Group	7/10/99
B(ii)	Email from author to Quality Working Group members re: outcomes of meeting on 14/2/00	15/2/00
B(iii)	Email from Quality Working Group member to group members re: outcomes of meeting on 14/2/00	17/2/00
B(iv)	Written notes of a meeting of the Quality Improvement Group with 2 Heads of School to collect requirements for quality improvement	28/2/00
B(v)	Notes of Quality Group meeting	2/3/00
B(vi)	Presentation by Quality Working Group to Faculty Executive	29/3/00
B(vii)	Email from author to Quality Working Group members re; Faculty Executive presentation	31/3/00
B(viii)	Presentation by Quality Working Group to Faculty Executive	23/10/00
B(ix)	Consortium Programme Management Framework	8/8/00
B(x)	Presentation by Project Manager to consortium project board	Undated but between June and September 2001
B(xi)	Email from the Project Manager to the author re: improvement groups and roll out	9/7/01

Appendix 11: Case Study 'C' Interview and Documentation Analysis

Interview Section or Question	Phase or Element of the Theoretical Framework	Interviewee C1 Responses	Interviewee C2 Responses	Interviewee C3 Responses	Interviewee C4 Responses	Documentary Evidence	Pattern emerging/ Summary
1. INITIAL DECISION	• Decision Phase						
1.1 When was the EFQM Excellence Model first considered?	• Pace	When the current the current Vice Chancellor was about to arrive. Mid to late 1999.	Early to mid 2000.	The interviewee was not aware of this.	The School Director raised it at a school management meeting about 3 years ago after the present Vice Chancellor had arrived in January 2000.		The Excellence Model was first considered in late 1999/early 2000.
1.2 Were any alternatives considered?	• Decision Phase • Motive • Alternatives considered	No.	No.	The interviewee was not aware of this.	No, the EFQM Model was introduced by the Vice Chancellor.		No alternatives were considered.
1.3 When was the decision made to use the EFQM Excellence Model?	• Decision Phase • Pace	Late 1999.	Mid 2000.	October 2000.	About January 2000.		It was unclear when the decision was taken to use the EFQM Model. It was somewhere between late 1999 and October 2000.
1.3.1 Who made this decision?	• Decision Phase • Motive • Support for the decision	The Vice Chancellor, having located a willing pilot school.	The School Management Team with a strong steer from the Vice Chancellor who had asked the Head of School to get involved.	The interviewee suspected that it was the Vice Chancellor.	The School Director and the School's Senior Management Team *"encouraged"* by the Vice Chancellor.		The decision was either taken by the VC, having located a willing pilot school or by the School's management team with a strong steer from the VC.

1.3.2 Was this decision fully supported by the decision-making group?	• Decision Phase • Motive • Support for the decision	It was discussed by the School Management Group and agreed.	Yes.	The interviewee wasn't aware of this. He assumed that the SMT had supported the decision as they became members of the diagonal slice.	Yes.		Three of the four interviewees were involved in making this decision. It would appear that the decision was fully supported by the School's management team.
1.4 What was/were the motive(s) for using the EFQM Model?	• Decision Phase • Motive	There had been a school merger in 1997, but there was a feeling that improvement was still needed. An aspiration to "be good". An aspiration to spend less time firefighting and to become more proactive and strategic. To get away from the *"Plate spinning mentality"*.	The School was diverse and complex to effectively organise, therefore it was felt that the EFQM Model might help the School to become more effective and efficient. It would *"help people to do their job better"*. It would help in providing a better service to customers.	The interviewee assumed that it was for school improvement.	It was a directive from the Vice Chancellor. The Director of the School was very enthusiastic about it. It would provide some benefits in managing the school. It would provide a control system. It would help management in decision-making.		Although the interviewees all phrased their responses differently, the themes that emerged about the motives for using the EFQM Model were: School improvement. Benefits in management decision-making. Becoming more proactive, less reactive.

1.5 What were the intended uses of the EFQM Excellence Model? (A list of possible uses derived from the literature review was provided for the interviewee to select from along with an '*other*' option).	• Decision Phase • Motive • Intended uses of the model	Self-assessment framework to aid improvement. Strategic Tool (To help decision making). To motivate staff to get involved in quality improvement activities.	Self-assessment framework to aid improvement. To provide a holistic, broader view of the business. A means of integrating other quality and management initiatives and tools. To motivate staff to get involved in quality improvement activities (partly).	Self-assessment framework to aid improvement.	Self-assessment framework to aid improvement. Performance Management Tool.		The main intended use of the EFQM Excellence Model was: Self-assessment framework to aid improvement. In addition the project manager listed the following: To provide a holistic, broader view of the business. A means of integrating other quality and *management initiatives and* tools. *To motivate staff* to get involved in quality improvement activities (partly). The Professor interviewed (C4) thought that it would be used as a performance management tool.
1.6 What were the expected benefits of using the EFQM Excellence Model? (Were clear objectives set?)	• Decision Phase • Motive • Objectives and expected benefits	To develop a strategic planning system. To group and prioritise problems. To gain consensus on the above.	To drive improvement. To improve efficiency. To improve effectiveness. To get away from. "firefighting" To become proactive.	The general improvement of the school. The interviewee wasn't part of the management team at the time.	To improve the management of the school.		The interviewees mentioned a number of expected benefits or objectives: To improve the school. To improve the management of the school. To become proactive. The project manager (Director of the School) had an objective to develop a strategic planning system.

1.7 What were the expected timescales in which the benefits would be accrued?	• Decision Phase • Motive • Objectives and expected benefits	18 to 30 months.	12 months for the first cycle. 3 years to gain the benefits. It was to be continuous.	2 - 4 years to establish the benefits.	A few "quick fixes" Mainly evolutionary, continual. About 2 years.		The timescale in which the expected benefits would be accrued was 2-3 years, but then it would be continual.
2. GAINING SENIOR MANAGEMENT COMMITMENT (SMC)	• Preparation Phase • Gaining Senior Management Commitment						
2.1 Which actions were taken to gain senior management commitment?	• Preparation Phase • Gaining Senior Management Commitment	It was discussed extensively at SMT. There was a specific one day training session for the SMT plus the managers of those staff to be included in the diagonal slice. This was run by a consultant and was designed to increase awareness and understanding. The Vice Chancellor was in attendance at various meetings and normally opened the sessions.	The Head of School made a presentation to the School's Senior Management Team (SMT). External consultants presented to the SMT. The Vice Chancellor came to speak to staff when the School set up its "Diagonal Slice". The Vice Chancellor was involved in one of the training sessions. The Vice Chancellor attended one of the early HEFCE consortium planning meetings. The Vice Chancellor was the Director for the HEFCE project.	The interviewee wasn't aware of this.	The Director of the School became a trained EFQM Assessor. There was a one-day training day for the School Senior Management with 2 staff from the lead organisation in the HEFCE Project Consortium.	Document C(i), "Memo to SMT from Director of School" 14/9/00 shows a planned 3 hour introduction to the model for senior management on 9/11/00.	Three main actions were taken to gain SMC: The Head of School made a presentation to the School's Senior Management Team (SMT). There was a specific one day training session on 9/11/00 for the SMT plus the managers of those staff to be included in the diagonal slice. This was run by a consultant from the HEFCE consortium and was designed to increase awareness and understanding. The VC was involved in various training sessions and meetings.

2.2 When were these actions taken?	• Preparation Phase • Gaining Senior Management Commitment • Pace	Last quarter of 2000.	Right at the start of the project and at various points during the first year.	Not applicable.	About March 2000.		These actions took place in the last quarter of 2000 and the early part of 2001.
2.3 Who did this?	• Preparation Phase • Gaining Senior Management Commitment	The Director of the School, the Vice Chancellor and an external consultant from the HEFCE consortium.	The staff identified in 2.1.	Not applicable.	Staff from another HEFCE consortium institution.		The staff who carried out these actions were the Director of the School, the Vice Chancellor and an external consultant from the HEFCE consortium.
2.4 To what extent do you think senior management commitment was gained? A Likert Scale was provided which ranged from 1 *None* to 7 *Full.*	• Preparation Phase • Gaining Senior Management Commitment	6 Most were at 6 on the scale but there was a range from 3 to 7.	6 to 7	5 to 6 This was based on the Head of School becoming the Project Manager.	7		Mean = 6.25 Range 5.5 to 7 SMC was seen as being very high, although the project manager (Director of the School) thought that it ranged from 3 to 7.
3. **PREPARATION**	• Preparation Phase						
3.1 Were any **change models** considered for use during the implementation? (e.g. force field analysis) Yes/No	• Preparation Phase • Planning • Resistance to Change	No.	No. Although staff were made aware of change issues in the training sessions.	No. The interviewee didn't think so.	No.		No change models were considered for use in the implementation.
3.1.1 If so, how were they used and when?	• Preparation Phase • Planning • Resistance to Change • Pace	Not applicable.	Not applicable.	Not applicable.	Not applicable.		

3.1.2 If so why were they used?	• Preparation Phase • Planning • Resistance to Change	Not applicable.	Not applicable.	Not applicable.	Not applicable.		
3.2 Were the motive and objectives in using the EFQM Excellence Model communicated to staff? Yes/No	• Preparation Phase • Planning • Communication • Resistance to Change	Yes.	Yes.	Yes. To the diagonal slice members, but not generally in the school.	Yes.		The motive and objectives in using the EFQM Excellence Model were communicated to staff in the school. One interviewee thought that this was only done with the diagonal slice members.
3.2.1 If so, how and when?	• Preparation Phase • Planning • Communication • Pace	By a staff newsletter. By an address to staff by the Director of the School. Late 2000.	The interviewee wasn't sure, perhaps a newsletter was sent to staff in the school.	Staff were invited by the Head of School to join the diagonal slice. Enthusiasts were chosen.	Volunteers were asked for from within the school to take part in the self-assessment process. There was to be a *"diagonal slice of staff"*. Mid 2000.		This was communicated by a staff newsletter and an address to staff by the Director of the school. There was an invitation to join the diagonal slice. This happened in late 2000.
3.3 Culture/Context	• Preparation Phase • Planning • Culture/context assessment						
3.3.1 Was there an attempt to assess the organisational culture? Yes/No.	• Preparation Phase • Planning • Culture/context assessment	No.	No.	No. The interviewee didn't think so.	No.		There was no attempt to assess the organisational culture
3.3.2 If so, how and when?	• Preparation Phase • Planning • Culture/context assessment • Pace	Not applicable.	Not applicable.	Not applicable.	Not applicable.		

3.3.3 Were any of the following aspects of culture/context taken into consideration in the preparation?	• Preparation Phase • Planning • Culture/context assessment						
3.3.3.1 Management Style? Yes/No.	• Preparation Phase • Planning • Culture/context assessment	No.	No.	No.	The interviewee wasn't aware of this happening.		The management style wasn't considered in the preparation.
If yes, which issues were considered?	• Preparation Phase • Planning • Culture/context assessment	Not applicable.	Not applicable.	Not applicable.	Not applicable.		
How would you assess the management style? A seven point Likert scale was provided ranging from 1 *Collegial* to 7 *Managerial.*	• Preparation Phase • Planning • Culture/context assessment	4 to 5	4 A persuasive style.	4 to 5 This was for the SMT. The whole of the school was more towards the managerial end of the scale.	6 to 7		Mean = 4.9 Range 4 to 6.5 The management style was seen as quite managerial.
3.3.3.2 Individualism of academic staff? Yes/No.	• Preparation Phase • Planning • Culture/context assessment	Yes.	No.	No.	Yes, but not much.		Only the project manager had considered the individualism of staff in the preparation phase.

If yes, which issues were considered?	• Preparation Phase • Planning • Culture/context assessment	Some extremists who were "anti management models" because they were "subjective" and "qualitative". Some staff were anti managerial. Some staff would not want to join teams.	Not applicable.	Not applicable.	Not applicable.		The project manager thought that some individuals were anti-managerial and were against management models. Some individuals would not want to be in a team.
How would you assess the level of academic staff individualism? A seven point Likert scale was provided ranging from 1 *Individual* to 7 *Teamworking*.	• Preparation Phase • Planning • Culture/context assessment	5 to 6 With some pockets of individualism.	5	5	2 to 6		Mean = 4.9 Range 4 to 5.5 The staff were seen as team-centred with some pockets of individualism.
3.3.3.3 Professional nature of academic staff? Yes/No.	• Preparation Phase • Planning • Culture/context assessment	No. Perhaps discipline-related.	No.	No.	No.		The professional nature of academic staff was not taken into consideration in the preparation.
If yes, which issues were considered?	• Preparation Phase • Planning • Culture/context assessment	Not applicable.	Not applicable.	Not applicable.	Not applicable.		

To what extent do you think that the academic staff see themselves as professionals? A seven point Likert scale was provided ranging from 1 *Low* to 7 *High.*	• Preparation Phase • Planning • Culture/context assessment	6 to 7	6	7	4 to 7		Mean = 6.25 Range 5.5 to 7 The interviewees thought that the academic staff saw themselves as professionals.
3.3.3.4 Academic Freedom/critical nature of academic staff? Yes/No.	• Preparation Phase • Planning • Culture/context assessment	Yes.	No.	No.	No.		Academic Freedom/critical nature of academic staff was not taken into consideration in the preparation.
If yes, which issues were considered?	• Preparation Phase • Planning • Culture/context assessment	This was discussed but was not considered to be a problem as there was an expectation of honest critique.	Not applicable.	Not applicable.	Not applicable.		
How much academic freedom and criticality do you think the academic staff exercise? A seven point Likert scale was provided ranging from 1 *Low* to 7 *High.*	• Preparation Phase • Planning • Culture/context assessment	6 to 7	6	7	2 to 6		Mean = 5.9 Range 4 to 7 It was thought that the academic staff exercised a great deal of academic freedom and criticality.
3.3.3.5 Recognition/Rewards for involvement in EFQM implementation? Yes/No/Not considered.	• Preparation Phase • Planning • Culture/context assessment	No. It was considered but it was decided not to plan any.	Yes.	Not considered.	Not considered.		Recognition/Rewards for involvement in EFQM implementation was considered but it was decided not to plan any.

If yes, why and which forms of recognition/ rewards were planned?	• Preparation Phase • Planning • Culture/context assessment	Not applicable.	No rewards were planned. Perhaps there would be some "time relief" for staff involved in the project.	Not applicable.	Not applicable.		
If no, why not?	• Preparation Phase • Planning • Culture/context assessment	If work on this project was rewarded then other things would have to be. Concern that volunteers might not come forward for the "right" reasons. Cash was not within the Director's gift.	Not applicable.	Not applicable.	Not applicable.		The reasons for not planning any rewards/recognition were: If work on this project was rewarded then other things would have to be. Concern that volunteers might not come forward for the "right" reasons. Cash was not within the Director's gift.
3.3.3.6 Language/Terminology used in the EFQM Excellence Model. Was it tailored to suit the culture/context? Yes/No/Not considered.	• Preparation Phase • Planning • Culture/context assessment	No. Considered but decided not to tailor it.	No.	No.	The interviewee wasn't involved in this and so didn't know.		The language/terminology in the EFQM Model was not tailored to suit the culture/context.
If yes, why and what changes were made?	• Preparation Phase • Planning • Culture/context assessment	Not applicable.	Not applicable.	Not applicable.	Not applicable.		

If no, why not?	• Preparation Phase • Planning • Culture/context assessment	Guided by the consultant. The school would then be using the same model as anyone else using it.	The language was OK (the public sector version was used).	No changes were made, but some staff *"struggled"* with the language.	Not applicable.		The reasons for not changing the language/terminology were: The language was OK (the public sector version was used). The school was guided by the HEFCE consultant. The school would then be using the same model as anyone else using it. One interviewee thought that some staff *"struggled"* with the language.
3.3.3.7 Department/School/ Faculty culture of support. Yes/No.	• Preparation Phase • Planning • Culture/context assessment	Yes.	No.	No.	No.		Only the project manager considered the school culture of support in the preparation.
If yes, which issues were considered?	• Preparation Phase • Planning • Culture/context assessment	There was an expectation from the school members of management support.	Not applicable.	Not applicable.	Not applicable.		The project manager thought that there would be an expectation from the school members of management support.
Which of the points on this scale best describes the culture of support in your Department/School/ Faculty? A seven point Likert scale was provided ranging from 1 *blame/fear* or *unsupportive/uncooperative* to 7 *supportive/cooperative.*	• Preparation Phase • Planning • Culture/context assessment	5 to 6	5 There had previously been a blame/fear culture in the University but not now.	2 This was from the staff viewpoint, but based more on not being sure how to support.	3 years ago it ranged between 2 and 5. Now it ranged between 3.5 and 6 (Different Director of School).	Document C(iv), "School Action Planning Meeting" 8/3/01 records the VC indicating that there was to be a definite move away from blame culture.	Mean = 4.3 Range 2 to 5.5 There was a range of opinions on the culture of support in the school. It was moving towards being supportive/co-operative. There had been a blame culture in the past.

3.4 Issues specific to the use of the EFQM Excellence Model	• Preparation Phase • Planning • EFQM Model specific choices						
3.4.1 Which approach to self-assessment was chosen? A list of possible approaches was provided derived from the literature review.	• Preparation Phase • Planning • EFQM Model specific choices	Workshop approach (using a diagonal slice of staff in the school).	Workshop approach (A Diagonal Slice facilitated by consultants).	Workshop approach (using the diagonal slice).	The interviewee didn't know.		A workshop approach to self-assessment had been used with a diagonal slice of staff.
Why was this approach chosen?	• Preparation Phase • Planning • EFQM Model specific choices	It was the consultant's choice.	It was suggested by the consultants from the HEFCE consortium.	The interviewee didn't know.	Not applicable.		This approach was recommended by the HEFCE consultant.
3.4.2 Was a decision taken on whether to use scoring as part of the self-assessment process? Yes/No/Not considered.	• Preparation Phase • Planning • EFQM Model specific choices	Yes. It was decided to use scoring.	Yes. It was decided to use scoring.	Yes. It was decided to use scoring.	Yes. It was decided to use scoring.	Document C(i), "Memo to SMT from Director of School" 14/9/00 shows that it was planned to apply the model's scoring mechanism.	A decision was taken on 14/9/00 to use scoring.

If yes, why?	• Preparation Phase • Planning • EFQM Model specific choices	The academic discipline of the staff in the school meant that they would be attracted to numbers. It is part of the culture.	Because of his academic discipline, the interviewee can relate to numbers. Staff were generally comfortable with numbers.	The interviewee didn't really know. The interviewee supposed that it was to see what the score would be. On reflection, perhaps using scoring wasn't a good thing.	It was chosen by the self-assessment teams because they had been trained to score.		The reasons why it was decided to score were: The academic discipline of the staff in the school meant that they would be attracted to numbers. It is part of the culture. It was chosen by the self-assessment teams because they had been trained to score. On reflection, one interviewee thought that perhaps using scoring wasn't a good thing.
What were the intended uses of the scores?	• Preparation Phase • Planning • EFQM Model specific choices	To get a handle on the relativity of problems. For comparison of problems.	To be able to compare between self-assessments. To check possible improvement.	*"To see where we stood".*	The scores were to be used to identify areas for improvement that would have the most impact.		The intended uses of the scores were: For comparison of problems in order to identify areas for improvement that would have the most impact. To check possible improvement. *"To see where we stood".*
If no, why not?	• Preparation Phase • Planning • EFQM Model specific choices	Not applicable.	Not applicable.	Not applicable.	Not applicable.		
3.4.3 Was a decision taken on whether to amend the criterion weightings given in the model? Yes/No/Not considered.	• Preparation Phase • Planning • EFQM Model specific choices	A decision was made not to change them.	This was considered but it was decided not to amend them.	The interviewee wasn't sure which.	The interviewee didn't know.		It was decided not to change the criterion weightings in the model.

If yes, why and what were they changed to?	• Preparation Phase • Planning • EFQM Model specific choices	Not applicable.	Not applicable.	Not applicable.	Not applicable.		
If no, why were they used as in the model?	• Preparation Phase • Planning • EFQM Model specific choices	To aid Benchmarking.	It was felt that they would be appropriate.	Not applicable.	Not applicable.		There was no clear reason for leaving the criterion weightings as they were. The project manager thought that this would aid Benchmarking.
3.4.4 Was a decision made to use RADAR logic in the implementation? Yes/No/Not considered.	• Preparation Phase • Planning • EFQM Model specific choices	Yes.	Yes.	Yes.	The interviewee didn't know.		A decision was made to use RADAR logic in the implementation.
If yes, why and how?	• Preparation Phase • Planning • EFQM Model specific choices	The consultant encouraged its use as the best way to score.	To help with the scoring process. To maintain consistency.	The interviewee didn't know. It was used in self-assessment.	Not applicable.		The reason for using RADAR logic was to help with scoring.
If no, why not?	• Preparation Phase • Planning • EFQM Model specific choices	Not applicable.	Not applicable.	Not applicable.	Not applicable.		
3.5 Demonstrating Senior Management Commitment	• Preparation Phase • Planning • Demonstrating SMC						

What actions were planned in order to demonstrate SMC to the implementation?	• Preparation Phase • Planning • Demonstrating SMC	Two members of the diagonal slice came from the SMT. It was a standing item on the SMT agenda. The Director of the School coordinated meetings. Diagonal slice members didn't have to make an appointment to see the Director of the School.	The SMT realised that momentum needed to be maintained. The Head of School facilitated some of the training sessions. The Head of School undertook EFQM Assessor training.	The Head of School led the project. All the SMT were in the diagonal slice.	The interviewee didn't have a clear recollection of this. Perhaps there was a meeting of staff in the school. Perhaps an email was sent to staff. 3 members of the School's Senior Management Team were involved in the diagonal slice assessment. The Vice Chancellor was *"visible"* during the training sessions.		A number of actions were planned in order to demonstrate SMC to the implementation: Two members of the diagonal slice came from the SMT. It was a standing item on the SMT agenda. The Director of the School coordinated meetings. Diagonal slice members didn't have to make an appointment to see the Director of the School. The Head of School facilitated some of the training sessions. The Head of School undertook EFQM Assessor training. The Head of School facilitated some of the training sessions. The Head of School undertook EFQM Assessor training. The Vice Chancellor was *"visible"* during the training sessions.

Why were these approaches chosen?	• Preparation Phase • Planning • Demonstrating SMC	It was felt that the Director of the School had to show that he was devoting his time to the project. *"Time is a valuable commodity".* Visibility was important.	As practical demonstration of commitment. To underpin the commitment from the Vice Chancellor.	The interviewee didn't know.	The School's Quality Assurance manager was not involved deliberately because of preparations for an external subject review.		These approaches were shown to demonstrate visibility and practical involvement.
3.6 Project Management	• Preparation Phase • Planning • Project Management						
3.6.1 Was a Steering Committee set up? Yes/No.	• Preparation Phase • Planning • Project Management	No. The steering function was carried out by the SMT.	No.	The interviewee assumed yes, but wasn't sure.	No, however the diagonal slice performed the duties of a steering group.		There was no separate steering committee. This function was carried out by the school's SMT.
If yes, why, when and who was involved?	• Preparation Phase • Planning • Project Management • Pace	Not applicable.	Not applicable.	The interviewee didn't know. Perhaps it included the Vice Chancellor and the external consultant.	Not applicable.		
3.6.2 Was a Project Manager appointed? Yes/No.	• Preparation Phase • Planning • Project Management	Yes.	Yes.	Yes.	Yes. The Director of the School. The interviewee was of the opinion that he tried not to push the project too hard, however he was proactive in managing the project.		The Director of the School was appointed as the Project Manager.

If yes, when?	• Preparation Phase • Planning • Project Management	Late summer 2000.	Mid 2000.	In 2000.	Summer 2000.		This happened in summer 2000.
Did the Project Manager have previous knowledge of or experience with the EFQM Excellence Model?	• Preparation Phase • Planning • Project Management	No, although there was some knowledge of it by some of the school's staff.	The interviewee wasn't aware of any.	No.	The interviewee didn't think he did.		The Project Manager had no previous knowledge of or experience with the EFQM Excellence Model.
Did the Project Manager have previous project management experience?	• Preparation Phase • Planning • Project Management	Yes, extensive experience of both management and research projects.	Yes, managing research projects.	Yes, of research projects.	The interviewee doubted it. He had some experience of managing research projects.		The project manager had previous experience of managing projects.
What training did the Project Manager receive and when?	• Preparation Phase • Planning • Project Management • Pace	EFQM Assessor training in Spring 2002. This would have been better before the first self-assessment in Spring 2001.	EFQM Assessor training. Meetings with the consortium directors.	Some training workshops, but the interviewee wasn't sure when.	EFQM Assessor January to Summer 2000. Further training with the "diagonal slice". HEFCE project conferences.	Documents C(vi) 18/2/02 and C(vii) 22/2/02, "BQF letters to the project manager re: assessor training stage 1 and stage 2" show the planned training for the project manager on 21-22/3/02 and 30/4-2/5/02.	The project manager received EFQM Assessor training in March/April 2002. He thought that this would have been better before the first self-assessment in Spring 2001.
3.6.3 Was a project plan constructed? Yes/No.	• Preparation Phase • Planning • Project Management	Yes.	Not a specific plan, more of a general timetable that came from the HEFCE project consortium.	The interviewee didn't know.	The interviewee wasn't aware of one.	Document C(i), "Memo to SMT from Director of School" 14/9/00 shows an outline timetable for the consortium.	There was no detailed project plan. There was a general timetable that came from the HEFCE project consortium.

Was the pace of implementation considered in the planning, if so how?	• Preparation Phase • Planning • Project Management • Pace	The pace was dictated by the HEFCE funded consortium. The first self-assessment had to be done by Spring 2001.	The pace was dictated by the consortium.	The interviewee wasn't aware.	The interviewee didn't know.		The pace was dictated by the HEFCE funded consortium. The first self-assessment had to be done by Spring 2001.
Who was involved in constructing the project plan?	• Preparation Phase • Planning • Project Management	The diagonal slice members.	The consortium members and the consultants.	The interviewee wasn't aware.	The interviewee didn't know. The School's Senior Management Team were not kept informed much of progress with the project.	Document C(i), "Memo to SMT from Director of School" 14/9/00 shows an outline timetable for the consortium	The project timetable was constructed by the consortium members and the consultants.
Was the implementation piloted and then rolled out or done across the case study organisation?	• Preparation Phase • Planning • Project Management	It was done across the school.	It was done across the school.	Across the school using the diagonal slice.	It was done right across the school using the diagonal slice. A by-product of this was that staff mixed across the school.		The implementation was done across the school.
Why was this approach chosen?	• Preparation Phase • Planning • Project Management	The School had reasonable staff numbers to do it across the School. (About 60 academics and 40 support staff). It was better politically to self-assess all the school rather than some of it.	It was an overall philosophy - the School was a pilot for the whole University. The "Diagonal Slice" was school-wide.	It pulled members of the school together.	Because it was one school, it was a school-wide project.		The reasons for this were: The School was a pilot for the whole University. The School had reasonable staff numbers to do it across the School. (About 60 academics and 40 support staff). It was better politically to self-assess all the school rather than some of it. The "Diagonal Slice" was school-wide and It pulled members of the school together.

Which other major initiatives/projects were taking place at the same time as the EFQM Excellence Model implementation?	• Preparation Phase • Planning • Project Management	Preparation for an external Subject Review in part of the School in the early stages of the project. *"The usual heavy workload".*	One part of the school underwent an external Subject Review. The new Vice Chancellor was making structural changes to the University. As a result, the School became part of a Faculty.	Many new programmes were being validated. A Malaysian project was being developed. There was a *"budgeting crisis".*	*"Thousands".* There was a subject review in on part of the school. *"Constant change"* since about 1987. The interviewee would like some stability.		There were some other initiatives/projects taking place at the same time as the EFQM implementation: One part of the school underwent an external Subject Review. There was a *"budgeting crisis".* The new Vice Chancellor was making structural changes to the University. As a result, the School became part of a Faculty. Many new programmes were being validated. *"The usual heavy workload".*
3.6.4 How was progress of the project monitored and by whom?	• Preparation Phase • Planning • Project Management • Momentum	The Project Manager. The SMT. The HEFCE consortium Project Manager. By meetings.	By the Project Manager. It was discussed with the school's SMT. It was discussed with the Consortium consultants.	By the HEFCE consortium.	The interviewee suspected this was done by the Director of the School and his Deputy.		Progress of the project was monitored by the project manager and the SMT and also by the HEFCE consortium project manager.

3.6.5 What resources were allocated to the project and when?	• Preparation Phase • Planning • Project Management	The Project Manager (No specific % of time but averaged about one to one and a half days per week on the project). The Diagonal Slice Team (14 staff). Between half and one day per week each.	Some of the Project Manager's time. This was done by the Deputy taking on more day to day management of the school. Some money for training and the release of staff from other duties.	The Project Manager. Staff members time to serve on the various groups (this was voluntary).	The interviewee wasn't sure.		The following resources were allocated to the project: The Project Manager (No specific % of time but averaged about one to one and a half days per week on the project). The Diagonal Slice Team (14 staff). Between half and one day per week each. Some money for training and the release of staff from other duties.
3.7 Education and Training	• Preparation Phase • Planning • Education and Training						

What education and training was planned to be carried out to support the implementation?	• Preparation Phase • Planning • Education and Training	Awareness training for all the management team. Diagonal Slice members. Two days in how to use the EFQM model and two days on consensus scoring.	It was to be an ongoing process. The consultants were to train the members of the Diagonal Slice in self-assessment. There was to be awareness sessions for the process improvement teams.	A series of workshops with the groups (the diagonal slice and the improvement groups). Awareness raising. Training in self-assessment and scoring Training in tools and techniques such as problem-solving.	One day self-assessment training for the members of the diagonal slice. There were about 10 staff in this from Academic, Technical and Administrative areas of the school.	Document C(i), "Memo to SMT from Director of School" 14/9/00 shows three planned elements of training: A one-day seminar for senior managers planned for 8/11/00. A three-day training session in the model and improvement tools and techniques for a team of 10 planned for 14-16/11/00. A one-day training session for the team of 10 on gathering and analysing evidence for self-assessment on 14/12/00..	The following training was planned to support the implementation: A one-day seminar for senior managers planned for 8/11/00. A three-day training session in the model and improvement tools and techniques for a team of 10 planned for 14-16/11/00. A one-day training session for the team of 10 on gathering and analysing evidence for self-assessment.
Why?	• Preparation Phase • Planning • Education and Training	Recommended by the consultant.	The consortium consultants knew it would be needed.	The interviewee didn't know.	So that they could carry out self-assessments.		The planned training was recommended by the consortium consultant.
Who for?	• Preparation Phase • Planning • Education and Training	As described above.	The Diagonal Slice and Improvement Team members.	The members of the various groups.	As described above.		

When?	• Preparation Phase • Planning • Education and Training • Pace	Late 2000 for the first part then February 2001 for the last stage.	*"Just-in-Time"* training delivered in stages in the first year.	Late 2000/early 2001.	Somewhere between January and September 2000.		
Who by?	• Preparation Phase • Planning • Education and Training	The external consultant and the HEFCE consortium Project Manager.	The consultants and the Project Manager.	The external consultant.	Two staff from one of the partner HEFCE project institutions.		The training was carried out by the external consultant and the HEFCE consortium Project Manager.
Was an external consultant used? Yes/No.	• Preparation Phase • Planning • Education and Training	Yes.	Yes.	Yes.	Yes. Two staff from one of the partner HEFCE project institutions.	Document C(iii), "Consensus Workshop Agenda" 12-13/2/01 shows the involvement of the consultants from the HEFCE Consortium. Document C(viii), "HEFCE Project Director notes on team selection and project management" (undated) outlines the involvement of the HEFCE consultants in training sessions.	Consultants from the HEFCE consortium were used.

What was the reason for this choice?	• Preparation Phase • Planning • Education and Training	Experience was needed early in the project. Money was available from the HEFCE project to pay for this support.	The consultants were provided as part of the HEFCE consortium. The consultants were experts in the use of the EFQM Model.	The interviewee assumed that the consultant had been recommended by the HEFCE consortium.	To use their expertise. Perhaps there was a link via the Vice Chancellor.		The reasons for using the consultants were: Experience was needed early in the project. Money was available from the HEFCE project to pay for this support. The consultants were experts in the use of the EFQM Model.
3.8 Communication	• Preparation Phase • Planning • Communication						
What communication was planned about the implementation?	• Preparation Phase • Planning • Communication	There was no initial communications plan.	The use of a newsletter. Some general staff meetings (about 2).	Email. Communication is a problem within the school generally.	No communication was planned.		There was no initial communications plan.
Why?	• Preparation Phase • Planning • Communication	Not applicable.	These mechanisms were already in place.	Email tends to be used a lot.	Not applicable.		
When?	• Preparation Phase • Planning • Communication • Pace	Not applicable.	Initially the newsletters came out once per month, they then became more erratic and now they aren't used at all.	After each workshop.	Not applicable.		
3.9 Planned involvement in the implementation process and use of the EFQM Excellence Model.	• Preparation Phase • Planning • Staff Involvement and Teamwork						

Who?	• Preparation Phase • Planning • Staff Involvement and Teamwork	The Diagonal slice made up of some selected members and some volunteers (these were selected from a pool in order to get a good cross-section of the school).	The members of the diagonal slice. A number of improvement groups (3) with about 6 staff in each.	About 20 staff in the diagonal slice. Three improvement groups with 6 staff in each.	The members of the diagonal slice.	Document C(i), "Memo to SMT from Director of School" 14/9/00 indicates a plan to have a team of 10 staff trained.	It was planned to involve staff in the implementation process and use of the EFQM Excellence Model in the following ways: In the diagonal slice, made up of some selected members and some volunteers (these were selected from a pool in order to get a good cross-section of the school), that would conduct the self-assessment. In the improvement groups
Why?	• Preparation Phase • Planning • Staff Involvement and Teamwork	To get a good cross-section of the school to carry out self-assessment.	The diagonal slice was designed to get wide involvement. The improvement teams to implement improvements.	The interviewee didn't know as he hadn't been involved in this.	The understanding was that this was required in the scheme. It was commonsense to gain the different views of staff.		These approaches were chosen to get a good cross-section of the school to carry out self-assessment. This was designed to get wide involvement and views. The improvement teams were to implement improvements.
How?	• Preparation Phase • Planning • Staff Involvement and Teamwork	In the diagonal slice.	Improvement team members were suggested by the SMT based on appropriate expertise, but with some flexibility to include volunteers.	Through the groups.	Through the self-assessment process. Through involvement in improvement teams.		Improvement team members were suggested by the SMT based on appropriate expertise, but with some flexibility to include volunteers.
Was the use of teams considered? Yes/No.	• Preparation Phase • Planning • Staff Involvement and Teamwork	Yes.	Yes.	Yes.	Yes.		The use of teams was considered.

If yes, why were teams used and how were they deployed?	• Preparation Phase • Planning Staff Involvement and Teamwork	To get different perspectives in the diagonal slice (and the investigatory sub-teams). Three Improvement Groups with 6 staff in each were set up after the self-assessment. The Improvement Group members were half from the Diagonal Slice and half who were not.	As described above.	To get staff involved across the school. Through the groups described above.	To get a range of views.	Document C(viii), "HEFCE Project Director notes on team selection and project management" (undated) recommends using a diagonal slice of the department.	Teams were used to get staff involved across the school. Through the groups described above. Three Improvement Groups with 6 staff in each were set up after the self-assessment. The Improvement Group members were half from the Diagonal Slice and half who were not.
If no, why weren't teams used?	• Preparation Phase • Planning • Staff Involvement and Teamwork	Not applicable.	Not applicable.	Not applicable.	Not applicable.		
4. MOMENTUM	• Implementation and Evaluation Phase • Momentum						
4.1 Improvement Planning, Action and Review after self-assessment	• Implementation and Evaluation Phase • Momentum • Improvement Planning, Action and Review						

When was this carried out?	• Implementation and Evaluation Phase • Momentum • Improvement Planning, Action and Review • Pace	June 2001.	March 2001.	March 2001.	Self-assessment took place in 2000-2001. Improvement planning took place about September 2001.	Document C(i), "Memo to SMT from Director of School" 14/9/00 shows that this was planned for 8/3/01. Document C(iv), "School Action Planning Meeting" 8/3/01 shows that this was done on 8/3/01.	Improvement Planning, Action and Review after self-assessment took place on 8/3/01.
Who by?	• Implementation and Evaluation Phase • Momentum • Improvement Planning, Action and Review	The Diagonal Slice facilitated by the consultant.	The diagonal slice which included the Head of School and the Deputy.	The interviewee wasn't sure who had chosen the improvement projects. The interviewee thought it was the SMT with the diagonal slice.	The members of the diagonal slice with the external advisor from the partner institution.	Document C(i), "Memo to SMT from Director of School" 14/9/00 shows that it was planned to do this with the SMT and the self-assessment team.	This was carried out by he Diagonal Slice facilitated by the consultant.
How was this carried out?	• Implementation and Evaluation Phase • Momentum • Improvement Planning, Action and Review	Pareto Analysis was used. It was difficult but consensus on which improvement projects to address was reached.	At a meeting facilitated by the consultants.	Improvement teams were set up.	Improvement projects were prioritised Improvement teams were set up with members of the diagonal slice joined by other staff who had particular experience that would be useful to the projects.	Document C(i), "Memo to SMT from Director of School" 14/9/00 shows that it was planned to do this in a half-day session. Document C(iv), "School Action Planning Meeting" 8/3/01 shows that this was done by linking the self-assessment outcomes with the strategic priorities of the University.	Pareto Analysis was used. It was difficult but consensus on which improvement projects to address was reached. The self-assessment outcomes were linked with the strategic priorities of the University. Improvement teams were set up with members of the diagonal slice joined by other staff who had particular experience that would be useful to the projects.

Why was it done in this way?	• Implementation and Evaluation Phase • Momentum • Improvement Planning, Action and Review	It maintained their involvement and ownership. It was an advantage to do it this way as the group had lost their inhibitions to discuss problems.	It was better to involve more people than just the SMT. There was some overlap between the membership of the diagonal slice and the improvement groups to provide some continuity.	The improvement projects addressed 3 key issues in the school.	The interviewee thought that the programme was supposed to operate in this way.		This approach maintained the involvement and ownership of the diagonal slice. It was an advantage to do it this way as the group had lost their inhibitions to discuss problems. The improvement projects addressed 3 key issues in the school.
Was there any particular emphasis? E.g. quick wins, impact.	• Implementation and Evaluation Phase • Momentum • Improvement Planning, Action and Review	Some quick wins were chosen and the problems were fixed quickly, publicised and a clear link was made to the EFQM Project.	A mixture. It was hoped that some quick wins could be used to serve as examples of improvement, others were chosen to have a big impact on the school.	At least one (on student retention) was perhaps selected to have a large impact.	Three teams were set up to address three key areas for improvement.	Document C(i), "Memo to SMT from Director of School" 14/9/00 shows that it was planned to gain some "quick wins" as well as set up some longer term improvement projects. Document C(iv), "School Action Planning Meeting" 8/3/01 shows 12 planned "quick wins".	The emphasis was to get some quick wins (12 were planned), which could be used to serve as examples of improvement. Three others were chosen to have a big impact on the school.
4.2 Did the implementation progress on schedule? Yes/No.	• Implementation and Evaluation Phase • Momentum • Pace	No. It was on schedule for the first year, up to doing the self-assessment.	Yes. Up to the point of conducting the self-assessment.	No. Although the interviewee wasn't sure as he didn't have access to the project plan.	Only one of the three improvement projects progressed on schedule.		The overall view was that the first year of the project progressed on schedule, but only one of the three improvement projects progressed on schedule.

If not, why not?	• Implementation and Evaluation Phase • Momentum • Pace	The improvements groups didn't bed down quickly. Sometimes there was more talking than action. There were some negative views of "it can't be done" and "why are we doing this?" from members who hadn't been in the diagonal slice.	One improvement group made good progress. Two improvement groups got started but didn't get very far. This was because organisational changes affected the staff focus. Particularly the Head of School was about to move to the role of Research Institute Director.	Momentum was lost in the improvement project stage because of the pressures of other work.	Two projects *"fell by the wayside".*		The reasons for the project falling behind schedule were: The improvements groups didn't bed down quickly. Sometimes there was more talking than action. There were some negative views of "it can't be done" and "why are we doing this?" from members who hadn't been in the diagonal slice. Organisational changes affected the staff focus. Particularly the Head of School was about to move to the role of Research Institute Director. Momentum was lost in the improvement project stage because of the pressures of other work.
How was momentum regained?	• Implementation and Evaluation Phase • Momentum • Pace	The Project Manager stepped in and guillotined some issues with all three of the improvement groups. The Chairs for the improvement groups were appointed from within the diagonal slice.	It hasn't been regained yet but there is an intention to start again.	It wasn't, momentum was lost.	It wasn't.		There were attempts to regain momentum. The Project Manager stepped in and guillotined some issues with all three of the improvement groups. The Chairs for the improvement groups were appointed from within the diagonal slice. The overall view though was that momentum was lost and not regained.

What communication took place to inform staff about progress with the implementation?	• Implementation and Evaluation Phase • Momentum • Communication	Newsletter. The Director of the School's "State of the Nation" address to the school. Perhaps more communication was needed after the self-assessment and before the improvement groups got started.	Occasional newsletters. "The odd meeting".	Not much.	There was very little formal communication. *"Thank goodness for the grapevine".*		Little communication took place to inform staff about progress with the implementation. There was a Newsletter and the Director of the School's "State of the Nation" address to the school. One interviewee said that there was very little formal communication. *"Thank goodness for the grapevine".* The project manager thought that perhaps more communication was needed after the self-assessment and before the improvement groups got started.
4.3 Were the expected benefits of using the Excellence Model achieved? Yes/No.	• Implementation and Evaluation Phase • Momentum • Evaluation of benefits	About 50-60%. The self-assessment helped with strategic planning, problems were grouped and prioritised and consensus was gained in the diagonal slice group but not in the improvement groups.	No. For this to happen, more progress would have had to have been made with the improvement groups.	Initially yes as the process helped to pull the school together, however suggested improvements were not implemented.	Yes. Key areas for attention were identified. The staff were saying what the key areas were and were therefore more supportive of the improvements. The concepts of the EFQM Excellence Model are starting to become part of the day to day way of doing things. There had been limited progress with improvements.		The expected benefits were only partly achieved. The self-assessment helped with strategic planning, problems were grouped and prioritised and consensus was gained in the diagonal slice group but not in the improvement groups. Initially the process helped to pull the school together, however suggested improvements were not implemented.

If not, what were the major barriers to achieving these benefits?	• Implementation and Evaluation Phase • Momentum	Members of the improvement groups who hadn't been in the diagonal slice needed to see the evidence for the areas for improvement for themselves.	Loss of focus. Loss of direction. Loss of momentum.	The focus on other projects to help ease the financial pressures on the school. The members of the improvement groups were powerless to implement their recommendations for improvement. The change in the role of the Project Manager.	Between January 2002 and September 2002 only one of the three improvement teams was active. The Director of the School changed in August 2002. So in effect the project did not have a project manager for the last year.		The major barriers to achieving the benefits were: That members of the improvement groups who hadn't been in the diagonal slice needed to see the evidence for the areas for improvement for themselves. The members of the improvement groups were powerless to implement their recommendations for improvement. Between January 2002 and September 2002 only one of the three improvement teams was active. The Director of the School changed in August 2002. So in effect the project did not have a project manager for the last year. The focus on other projects to help ease the financial pressures on the school. The above led to a loss of focus, direction and momentum.
4.4 Do you think the pace of implementation was: too slow, too quick, about right?	• Implementation and Evaluation Phase • Momentum • Pace	Too quick.	About right in the first 12 months. Too slow (slowed down considerably later on).	Too slow.	About right.		There were mixed views on the pace of implementation. One interviewee thought it was too quick, one too slow and two about right (one of these thought it slowed down considerably after the first 12 months).

Why do you think this?	• Implementation and Evaluation Phase • Momentum • Pace	The first self-assessment was "pushed" by the HEFCE consortium. It would have been better to fit it in with the cycle of the academic year.	The EFQM implementation became a "distraction" to some staff.	Too much time was spent on the initial workshops. More effort was needed to manage the improvement projects.	The interviewee felt the rate of progress was about right considering all the other commitments in the school.		The reason given by the project manager for believing that the implementation was too quick initially was that the first self-assessment was "pushed" by the HEFCE consortium. It would have been better to fit it in with the cycle of the academic year. The interviewee who thought that it was too slow thought that too much time was spent on the initial workshops. More effort was needed to manage the improvement projects. The one who felt that the pace had slowed thought that the EFQM implementation had become a "distraction" to some staff. One interviewee thought that the rate of progress was about right considering all the other commitments in the school.

4.5 Was senior management commitment maintained throughout the implementation? Yes/No	• Implementation and Evaluation Phase • Momentum • Demonstrating SMC	Yes, broadly.	Yes.	To some extent. Some of the SMT remained committed, others focussed on other priorities.	The interviewee offered no comment but raised his eyebrows.		The Director and Deputy Director of the school thought that SMC had been maintained the other two interviewees appeared not to be convinced of this. One thought that some of the SMT remained committed, others focussed on other priorities. The fourth interviewee offered no comment but raised his eyebrows.
How was senior management commitment demonstrated during the implementation?	• Implementation and Evaluation Phase • Momentum • Demonstrating SMC	Two members of the diagonal slice came from the SMT. It was a standing item on the SMT agenda. The Director of the School coordinated meetings. Diagonal slice members didn't have to make an appointment to see the Director of the School.	Involvement in the training. Involvement in the diagonal slice. Some involvement in the improvement groups.	By involvement in the improvement teams, but only one of the 3 made any progress.	By involvement in the improvement teams. Some of the School's Senior Management Team did not get involved.	Document C(ii), "HEFCE Consortium Briefing Document" September 2000 was part prepared by the VC of the case study school's University. Document C(iv), "School Action Planning Meeting" 8/3/01 shows that the VC opened the meeting.	SMC was demonstrated during the implementation in a number of ways: Two members of the diagonal slice came from the SMT. It was a standing item on the SMT agenda. The Director of the School coordinated meetings. Diagonal slice members didn't have to make an appointment to see the Director of the School. Involvement in the training. By involvement in the improvement teams. The "HEFCE Consortium Briefing Document" September 2000 was part prepared by the VC of the case study school's University. The VC opened the "School Action Planning Meeting" 8/3/01.

What helped to maintain senior management commitment?	• Implementation and Evaluation Phase • Momentum • Demonstrating SMC	The overall aims were seen as important. The improvement projects were seen as important.	Enthusiasm for the EFQM Model. The SMT didn't become disillusioned with it.	The interviewee wasn't aware.	It wasn't fully there.		The following helped to maintain SMC: The overall aims were seen as important. The improvement projects were seen as important. There was enthusiasm for the EFQM Model.
If senior management commitment was not maintained what affected it?	• Implementation and Evaluation Phase • Momentum • Demonstrating SMC	Not applicable.	There was some loss of drive when the Project Manager changed role. Other issues diverted attention.	The focus on other priorities.	Two of the three improvement projects did not make progress. The implementation was not discussed at the school's senior management team meetings. There was much crisis management. Developmental projects such as this one took a back seat.		The issues which negatively affected SMC were: There was some loss of drive when the Project Manager changed role. The focus on other priorities. Two of the three improvement projects did not make progress. The implementation was not discussed at the school's senior management team meetings. There was much crisis management. Developmental projects such as this one took a back seat.
Were there any changes in senior management during the course of the implementation? Yes/No	• Implementation and Evaluation Phase • Momentum • Demonstrating SMC	Yes.	Yes.	Yes.	Yes.		

If so, which positions and when?	• Implementation and Evaluation Phase • Momentum • Demonstrating SMC	The Director of the School stepped down 2 years into the project and no longer led the project. As a consequence, there was no Project Manager for the last year.	The Head of School changed 2 years into the 3 year project. Effectively this meant that there was no Project Manager for the last year of the project.	The Head of School (Project Manager) changed after 2 years, but momentum was lost by then anyway.	There were no changes in the first 2 years. The Director of the School (also the Project Manager) changed at the end of year 2. There has been no progress in the last year. The interviewee believed that the new School Director was willing and, the interviewee suspects, enthusiastic to progress the implementation but was currently prevented from doing this by the time pressures of the new role.		The Director of the School stepped down 2 years into the project and no longer led the project. As a consequence, there was no Project Manager for the last year. One interviewee thought that momentum had been lost by then anyway.
To what extent do you think senior management commitment was demonstrated during the implementation? A Likert scale was provided from 1 *None* to 7 *Full.*	• Implementation and Evaluation Phase • Momentum • Demonstrating SMC	3 to 4 Due to the lack of a project manager in the last year.	5	4 to 5	2 to 3		Mean = 3.9 Range 2.5 to 5 It was felt that SMC was demonstrated to a reasonable extent.

4.6 Was the planned level of resources maintained during the implementation? Yes/No	• Implementation and Evaluation Phase • Momentum • Project Management	Yes.	No.	The interviewee wasn't aware of what the planned level was.	Yes.		There were mixed views on whether the planned level of resources was maintained during the implementation.
If not, what affected this?	• Implementation and Evaluation Phase • Momentum • Project Management	Not applicable.	The Project Manager's change of role. Not all the available funding was used.	Not applicable.	Not applicable.		One interviewee thought that the loss of the project manager for the last year of the project meant that the planned level of resources wasn't maintained throughout the project. In addition not all the available funding was used.
If yes, was the level of resources sufficient?	• Implementation and Evaluation Phase • Momentum • Project Management	No. More training needed to have been carried out with the improvement teams (teambuilding, problem-solving skills).	Yes, in general terms.	The interviewee thought that consultant support was needed for the improvement groups.	As 2 improvement groups weren't running, then resources didn't matter. The third improvement group was made up of 7 members but only 3 were active.		It was thought that more training and support for the improvement groups was needed.
4.7 Was the planned staff training carried out?	• Implementation and Evaluation Phase • Momentum • Education and Training	Yes.	Yes.	Yes.	Yes.	Document C(iii), "Consensus Workshop Agenda" 12-13/2/01 shows the agenda for this session.	The planned staff training was carried out.
If not, why not?	• Implementation and Evaluation Phase • Momentum • Education and Training	Not applicable.	Not applicable.	Not applicable.	Not applicable.		

What effect did this have on the implementation?	• Implementation and Evaluation Phase • Momentum • Education and Training	Staff started to use the terminology of the EFQM Model. There was a positive effect on behaviour, particularly the values and vision of the diagonal slice members.	It helped to put things into context using examples, cases and discussion.	It was positive. It helped to familiarise staff with basic quality tools.	*"They knew what they were doing". "They knew what they wanted to do".*		The training had a number of positive effects: There was a positive effect on behaviour, particularly the values and vision of the diagonal slice members. It helped to put things into context using examples, cases and discussion. It helped to familiarise staff with basic quality tools. Staff started to use the terminology of the EFQM Model.
4.8 Was there any recognition of or rewards for staff involved in EFQM implementation?	• Implementation and Evaluation Phase • Momentum • Recognition and Rewards	Indirectly, verbal thanks. The Vice Chancellor ran a draw with the winners receiving tickets to one of the Queen's Garden Parties at Buckingham Palace.	No rewards. Recognition: Lots of thanks. *"slaps on the back".* Verbal support from the Vice Chancellor.	No.	The chair of one of the improvement groups got recognition from the Director of the School. There were no rewards.	Document C(v), "Memo from VC to Project Manager" 21/6/01 shows the VC recognising the project manager's presentation on EFQM at a conference.	There were no rewards for staff involved in the EFQM implementation, however there were a number of instances of recognition: Verbal thanks. Verbal support from the VC. Written thanks from the VC to the project manager. The Vice Chancellor ran a draw with the winners receiving tickets to one of the Queen's Garden Parties at Buckingham Palace.
5. INTEGRATION	• Implementation and Evaluation Phase • Integration						

5.1 How many organisational levels was the EFQM Excellence Model implemented in?	• Implementation and Evaluation Phase • Integration • Multi-level use in the organisation	One, the school.	Two levels, the school and subject groups.	Two, the school and the programme level.	One, just the school.		There were mixed views on how many levels the self-assessment had been carried out in. The only documented self-assessment was at the school level.
5.2 How was RADAR logic used in the implementation?	• Implementation and Evaluation Phase • Integration • Actual uses of the EFQM Model	To aid scoring.	To aid scoring. To help define priorities for improvement.	To guide logical thought supported by evidence.	It wasn't.		RADAR Logic was used: To aid scoring. To help define priorities for improvement. To guide logical thought supported by evidence.
5.3 Was the planned level of staff involvement with the EFQM Excellence Model achieved?	• Implementation and Evaluation Phase • Integration • Staff Involvement and Teamwork	Yes.	Eighteen staff out of about 85 in the school were involved in the diagonal slice.	Yes, in terms of the self-assessment. No, in terms of the improvement implementation.	Partly. The diagonal slice and one improvement group.		The planned level of staff involvement was mainly achieved. 18 out of 85 staff in the school were involved in the diagonal slice. Only one of the three improvement groups was really active.
If not, why not?	• Implementation and Evaluation Phase • Integration • Staff Involvement and Teamwork	Not applicable.	Not applicable.	Because of the focus on other priorities.	For the reasons described earlier. Lack of involvement in two of the improvement groups.		The partial lack of staff involvement was because of the focus on other priorities.
5.4 How many rounds of self-assessment have been carried out and when?	• Implementation and Evaluation Phase • Integration • Actual uses of the EFQM Model • Pace	One in Spring 2001.	One, in March 2001.	One, in March 2001.	Just one in 2000-2001.		One round of self-assessment was carried out in March 2001.

5.5 Which of the following has the model actually been used for and how often? (A list of possible uses derived from the literature review was provided for the interviewee to select from along with an *'other'* option).	• Implementation and Evaluation Phase • Integration • Actual uses of the EFQM Model	Self-assessment framework. Strategic tool (the school's 2002 strategic plan was based on the self-assessment outcomes). Benchmarking tool (with the HEFCE consortium partners. To motivate staff to get involved in quality improvement activities.	Self-assessment framework. To provide a holistic, broader view of the business. To motivate staff to get involved in quality improvement activities.	Self-assessment framework. To provide a holistic, broader view of the business (to a small extent as a diagnostic tool). To motivate staff to get involved in quality improvement activities (*"by accident"*).	Self-assessment framework. Strategic Tool (to aid improvements that had a strategic impact, e.g. student retention).		The model was actually used: As a self-assessment framework. As a strategic tool (the school's 2002 strategic plan was based on the self-assessment outcomes). To provide a holistic, broader view of the business. To motivate staff to get involved in quality improvement activities.
5.6 Was the EFQM Model aligned with other organisational systems? E.g. Subject Review, Institutional Audit, Individual Performance Appraisal System, Internal Quality Reviews.	• Implementation and Evaluation Phase • Integration • Alignment with other organisational systems	No, not formally.	No.	No.	No, but there was an intention to do this *"in the background"*.		The EFQM Model was not aligned with other organisational systems.
6 GENERAL							
6.1 Has anything else that we haven't already discussed helped in the EFQM implementation?		No.	No.	No.	The application of commonsense provided by the EFQM Model, particularly for those who were not management or control orientated.		One interviewee thought that he application of commonsense provided by the EFQM Model, particularly for those who were not management or control orientated had helped in the implementation.

6.2 Has anything else that we haven't already discussed hindered the EFQM implementation?		There were some instances of some senior University staff (outside the School) feeling "threatened" by the pilot project in the School.	No.	The change of school leadership.	The biggest thing was the multi-tasking of individuals who had a plethora of roles. Differing levels of commitment. No time was allocated to staff for improvement project work. Momentum was "killed" in April to June 2002 because of exam pressures.		There were some other issues that the interviewees felt had hindered the implementation: There were some instances of some senior University staff (outside the School) feeling "threatened" by the pilot project in the School. The change of school leadership. The multi-tasking of individuals who had a plethora of roles. Differing levels of commitment. No time was allocated to staff for improvement project work. Momentum was "killed" in April to June 2002 because of exam pressures.
6.3 How were these hindrances overcome?		By the Director of the School talking through their concerns with them.	Not applicable.	It wasn't.	Sometimes they weren't. Only one of three improvement projects progressed. An ethos of improvement had been embedded in the student retention improvement group.		The first of the hindrances was overcome by the Director of the School talking through their concerns with them. Mostly though the hindrances weren't overcome.

6.4 How would you assess your level of EFQM implementation? A table used by PriceWaterhouseCoopers to assess the different levels of usage of the Excellence Model was shown to the interviewee who was asked to indicate which level they thought their organisation was at to the nearest half level. See appendix 5.		In the lower half of the maturing level.	In the lower half of the maturing level.	In the upper half of the entry level.	In the upper half of the entry level.		There were mixed views on the level of implementation. 2 interviewees thought this was in the lower half of the maturing level and 2 in the upper half of the entry level.

Appendix 12: Case Study 'C' Document List

Document Reference	Document Name	Date
C(i)	Memo to SMT from Director of School	14/9/00
C(ii)	HEFCE Consortium Briefing Document	September 2000
C(iii)	Consensus Workshop Agenda	12-13/2/01
C(iv)	School Action Planning Meeting	8/3/01
C(v)	Memo from VC to Project Manager	21/6/01
C(vi)	BQF letter to the Project Manager re: assessor training stage 2	18/2/02
C(vii)	BQF letter to the Project Manager re: assessor training stage 1	22/2/02
C(viii)	HEFCE Project Director notes on team selection and project management	Undated

Appendix 13: Case Study 'D' Interview and Document Analysis

Interview Section or Question	Phase or Element of the Theoretical Framework	Interviewee D1 Responses	Interviewee D2 Responses	Interviewee D3 Responses	Interviewee D4 Responses	Documentary Evidence	Pattern emerging/ Summary
1. INITIAL DECISION	• Decision Phase						
1.1 When was the EFQM Excellence Model first considered?	• Pace	In the summer of 2000. The Faculty was approached by a Centre within the University that had expertise in using the EFQM Excellence Model with a view to them getting involved in the HEFCE funded project.	About 3 years ago.	Around 4 years ago.	The interviewee guessed it was about early 2001.		The EFQM Excellence Model was first considered in the summer of 2000. The Faculty was approached by a Centre within the University that had expertise in using the EFQM Excellence Model with a view to them getting involved in the HEFCE funded project.
1.2 Were any alternatives considered?	• Decision Phase • Motive • Alternatives considered	No.	No.	No.	No.		No alternatives were considered.
1.3 When was the decision made to use the EFQM Excellence Model?	• Decision Phase • Pace	July 2000.	About 3 years ago.	About 3 years ago.	Around early 2001.		The decision to use the EFQM model was taken in July 2000.

1.3.1 Who made this decision?	• Decision Phase • Motive • Support for the decision	The Faculty Executive. The idea had originally been brought forward by the previous Dean. The current Dean proposed the use of the EFQM Model to the Faculty Executive.	The interviewee wasn't sure, but knew the Faculty was to be part of a HEFCE pilot project.	The Faculty Executive led by the Dean.	The Faculty Executive. The Dean (who had knowledge of the EFQM Model from a public sector that he interacted with) brought the idea to the Faculty Executive. The use of the model would bring the Faculty *"in sync"* with the public sector body. Slightly later it was explained that the Faculty would be part of a HEFCE funded Good Management Practice project.		The Faculty Executive made the decision to use the model.
1.3.2 Was this decision fully supported by the decision-making group?	• Decision Phase • Motive • Support for the decision	It was presented as a *"Fait Accompli"*, the HEFCE project had already been committed to as one of the University's PVCs had agreed with the expert centre mentioned above to be involved in the HEFCE funded project.	Yes, the Faculty Executive all thought it was a good idea.	There were mixed views of acceptance.	Yes, the Faculty Executive were generally happy to support the Dean. It was felt that the Dean had already committed the Faculty to the HEFCE project. There was some debate around two issues: Some concerns about the workload involved. Some concerns that the rest of the University wouldn't be using the EFQM model.		The Faculty Executive were generally happy to support the Dean, however it was a *"Fait Accompli"*, the HEFCE project had already been committed to as one of the University's PVCs had agreed with the expert centre mentioned above to be involved in the HEFCE funded project.

1.4 What was/were the motive(s) for using the EFQM Model?	• Decision Phase • Motive	Involvement in the HEFCE project. The faculty was approached to be part of the pilot. The project manager wasn't involved at the time of the decision to use the EFQM Model and therefore was unsure of the specific motives.	*"To get ourselves sorted out".* To get commonality as there were 3 schools with different cultures and also some specific quality problems.	The Faculty had been told that the body that would make the decision on the award of a major teaching contract would be using the EFQM Model to review the contract. The Faculty was being monitored on quality by both internal and external agencies and by different methods. It was felt that it would be better to have one. The HoSs in the faculty wanted something to help with the development and operationalising of strategy.	Linkages with the public sector who were already using it. Improve image with external agencies. Linkage with the Investors in People standard which was already held in parts of the Faculty.		There wasn't a single shared motive for using the EFQM Model. There was a number of motives: *"To get ourselves sorted out".* To get commonality as there were 3 schools with different cultures and also some specific quality problems. The Faculty had been told that the body that would make the decision on the award of a major teaching contract would be using the EFQM Model to review the contract. The Faculty was being monitored on quality by both internal and external agencies and by different methods. It was felt that it would be better to have one. The HoSs in the faculty wanted something to help with the development and operationalising of strategy. To improve image with external agencies.

1.5 What were the intended uses of the EFQM Excellence Model? (A list of possible uses derived from the literature review was provided for the interviewee to select from along with an '*other*' option).	• Decision Phase • Motive • Intended uses of the model	Self-assessment framework to aid improvement. Benchmarking tool (to a small extent).	Self-assessment framework to aid improvement. Strategic tool. Benchmarking tool (internal). To motivate staff to get involved in quality improvement activities.	Self-assessment framework to aid improvement. Strategic tool. Benchmarking tool. A means of integrating other quality and management initiatives and tools. To motivate staff to get involved in quality improvement activities.	Self-assessment framework to aid improvement. Strategic tool. To provide a holistic, broader view of the business (to a lesser extent). To motivate staff to get involved in quality improvement activities. Other. To gain status with external bodies.	Document D(ii), "Meeting notes Dean and Project Manager" 3/10/00 indicates that the intention was to use the EFQM Model for self-assessment and to look at how the outputs from self-assessment could be integrated into the business planning process.	The intended uses of the EFQM Excellence Model were: Self-assessment framework to aid improvement. Strategic Tool (integrating the outputs of the self-assessment into the business planning process). To motivate staff to get involved in quality improvement activities. Benchmarking tool (to a small extent).
1.6 What were the expected benefits of using the EFQM Excellence Model? (Were clear objectives set?)	• Decision Phase • Motive • Objectives and expected benefits	The project plan had been produced by the expert centre, therefore there had been no involvement from the Faculty in setting objectives. The Faculty *"didn't know what they were going into"*.	To involve school staff, not just HoSs. To work better. To share good practice.	To clarify structures and staff skills needed to deliver the Faculty's agenda. To look at things in a broader manner than in the past. To review the appropriateness of systems. To help decide and deliver on key outcomes.	To improve quality. To focus more clearly on customers. To focus more clearly on key objectives. To provide information for the allocation of resources. *"To be able to measure ourselves more effectively"*.	Document D(xxiii), "Planning Document for EFQM self-assessment" (undated) indicates the purpose of self-assessment.	The expected benefits of using the EFQM Model were: To look at things in a broader manner than in the past. To help decide and deliver on key outcomes. To improve quality. To focus more clearly on customers. To review the appropriateness of systems. To provide information for the allocation of resources. *"To be able to measure ourselves more effectively"*. However the project manager thought that the Faculty *"didn't know what they were*

							going into".
1.7 What were the expected timescales in which the benefits would be accrued?	• Decision Phase • Motive • Objectives and expected benefits	3 years (this was the timescale of the HEFCE funded project).	2-3 years. This was the interviewee's own opinion but this fitted with the HEFCE pilot timescales.	It would be a *"long haul".* A number of years, probably greater than 4 years. Beyond the 3 years of the HEFCE funded project.	About 3 years.		The expected timescales in which the benefits would be accrued were between 2 and 4 years.
2. GAINING SENIOR MANAGEMENT COMMITMENT (SMC)	• Preparation Phase • Gaining Senior Management Commitment						

2.1 Which actions were taken to gain senior management commitment?	• Preparation Phase • Gaining Senior Management Commitment	A project manager had been appointed in July 2000. A presentation was made to the Faculty Executive setting out the expectations and requirements.	An away day to raise awareness and to promote the value of the model. Debate at the Faculty Executive. *"We will all need to make time for this".*	The project manager met and discussed the EFQM Model with the HoSs and School Executives. The project manager met and discussed the EFQM Model with the Faculty Executive. Away days were used to explain the benefits and shortcomings of the EFQM Model to the Faculty Executive.	A presentation to improve knowledge of the EFQM Excellence Model was made to the Faculty Executive by members of a Centre within the University that had much experience in using the model in other public sector organisations. The Dean had discussed the use of the model with the Vice Chancellor but there was no obvious commitment from the University's Senior Management Team. The Project Manager ran sessions about the model (1 or 2) with the Faculty Executive. The Project Manager met on a one to one basis with some individuals from the Faculty Executive to clarify issues. The Project Manager ran 1 or 2 full day meetings with senior staff, down to Directors of School sub-units.	Document D(iii), "Presentation to Faculty Executive" 2/11/00 is the content of a presentation to improve knowledge of the EFQM Excellence Model which was made to the Faculty Executive. Document D(iv), "Schedule for Project Manager interviews with Faculty Executive members" (undated) shows interviews scheduled between 17/11/00 and 18/01/01. Document D(vi), "Update meeting notes-Dean and Project Manager" 26/2/01 showed that the project manager planned to speak to each school management team in March/April 2001. Document D(viii), "EFQM Workshop invitation" 1/5/01 invites members of the school management	The following actions were taken to gain SMC: A presentation was made to the Faculty Executive setting out the expectations and requirements. *"We will all need to make time for this".* The project manager met and discussed the EFQM Model with the HoSs and School Executives. The project manager met and discussed the EFQM Model with the Faculty Executive. The Project Manager met on a one to one basis with some individuals from the Faculty Executive to clarify issues. Away days were used to explain the benefits and shortcomings of the EFQM Model to the Faculty Executive. Members of the school management committees attended two one day workshops on 16 and 17 July 2001.

						committees to two one day workshops on 16 and 17 July 2001.	
2.2 When were these actions taken?	• Preparation Phase • Gaining Senior Management Commitment • Pace	September 2000.	About November 2000.	Within the first 6 months of the start of the project.	Within the first 2 months of the start of the project.		Mostly these actions took place within the first 6 months of the project and the final actions were in July 2001.
2.3 Who did this?	• Preparation Phase • Gaining Senior Management Commitment	The project manager supported by the Dean.	The away day was facilitated by the project manager.	The project manager and the Dean.	Partly the experts from the Centre mentioned above. Partly the Project Manager. The Dean was very involved and supportive of the actions described above.		The project manager, the Dean and the experts from the expert centre were involved in these sessions.
2.4 To what extent do you think senior management commitment was gained? A Likert Scale was provided which ranged from 1 *None* to 7 *Full.*	• Preparation Phase • Gaining Senior Management Commitment	4 to 5 The Faculty Executive was compliant rather than committed. There was no sign of resistance.	6	5	6		Mean = 5.4 Range 4.5 to 6 A high level of SMC to the EFQM implementation was gained

3. PREPARATION	• Preparation Phase						
3.1 Were any **change models** considered for use during the implementation? (e.g. force field analysis) Yes/No	• Preparation Phase • Planning • Resistance to Change	No.	No.	No.	No.		No change models were considered for use in the implementation.
3.1.1 If so, how were they used and when?	• Preparation Phase • Planning • Resistance to Change • Pace	Not applicable.	Not applicable.	Not applicable.	Not applicable.		Not applicable.
3.1.2 If so why were they used?	• Preparation Phase • Planning • Resistance to Change	Not applicable.	Not applicable.	Not applicable.	Not applicable.		Not applicable.
3.2 Were the motive and objectives in using the EFQM Excellence Model communicated to staff? Yes/No	• Preparation Phase • Planning • Communication • Resistance to Change	Yes.	No. Not generally. The HoSs took the project to their school executives.	Yes.	Yes, but only as far down as the members of the school executives.		The motive and objectives in using the EFQM Excellence Model were communicated to staff.

3.2.1 If so, how and when?	• Preparation Phase • Planning • Communication • Pace	In September/ October 2000 an email was sent to all staff in the Faculty by the Project Manager. The project manager made a one-hour presentation to each of the 3 school executives. The project manager made presentations to staff in the sub-units of her own school.	Not applicable.	The project manager and Dean spoke to each School Executive within the first 6 months. A champion was appointed within the first 6 months in each school who was responsible for articulating the use of the model in the school. The model was used as part of the business planning process.	As described above, with the help of the Project Manager. Within 2 months of the meetings with the Faculty Executive.		In September/ October 2000 an email was sent to all staff in the Faculty by the Project Manager. The project manager made a one hour presentation to each of the 3 school executives. The project manager made presentations to staff in the sub-units of her own school.
3.3 Culture/Context	• Preparation Phase • Planning • Culture/context assessment						
3.3.1 Was there an attempt to assess the organisational culture? Yes/No.	• Preparation Phase • Planning • Culture/context assessment	No.	No.	Yes.	No.		There was no collective attempt to assess the organisational culture, however the Dean and the project manager discussed some cultural/ contextual issues within the first 6 months. (Only the Dean recalled this at this point, however the project manager recalled some of the detailed issues which came up next in the interview).

3.3.2 If so, how and when?	• Preparation Phase • Planning • Culture/context assessment • Pace	Not applicable.	Not applicable.	The Dean and the project manager discussed the following cultural/ contextual issues within the first 6 months: The perceptions of the faculty Office staff. The cultures of the 3 schools and the types of leadership in them. The possibility of the schools choosing to use the EFQM Model in different ways to suit their own needs. This helped the project manager to better understand the cultures of the 3 schools.	Not applicable.		The Dean and the project manager discussed the following cultural/ contextual issues within the first 6 months: The perceptions of the faculty Office staff. The cultures of the 3 schools and the types of leadership in them. The possibility of the schools choosing to use the EFQM Model in different ways to suit their own needs. This helped the project manager to better understand the cultures of the 3 schools.
3.3.3 Were any of the following aspects of culture/context taken into consideration in the preparation?	• Preparation Phase • Planning • Culture/context assessment						
3.3.3.1 Management Style? Yes/No.	• Preparation Phase • Planning • Culture/context assessment	Yes.	No. There was already a good understanding of each other on the Faculty Executive.	Yes.	No.		The Dean and the project manager took the management style into consideration in their preparation.

If yes, which issues were considered?	• Preparation Phase • Planning • Culture/ context assessment	Each of the 3 schools had different management styles. A choice was therefore made not to be prescriptive in how each school would use the EFQM Model.	Not applicable.	That there were 3 different styles in the 3 schools. An acceptance by the HoSs that these different styles existed.	Not applicable.		The issue which was considered was that each of the 3 schools had different management styles. A choice was therefore made not to be prescriptive in how each school would use the EFQM Model.
How would you assess the management style? A seven point Likert scale was provided ranging from 1 *Collegial* to 7 *Managerial.*	• Preparation Phase • Planning • Culture/context assessment	3 to 6	2	2 to 6	5 to 6 In general, but there was a tendency to be more collegial within Faculty and School Executive meetings.		Mean = 4 Range 2 to 5.5 There was a very wide range of views on the management style in the Faculty from collegial to managerial. One interviewee thought that there was a tendency to be more collegial within Faculty and School Executive meetings.
3.3.3.2 Individualism of academic staff? Yes/No.	• Preparation Phase • Planning • Culture/context assessment	Yes.	Yes.	Yes.	No.		Three of the interviewees considered the issue of the individualism of academic staff.
If yes, which issues were considered?	• Preparation Phase • Planning • Culture/context assessment	It was felt that the culture of the Faculty was one in which teamwork prevailed.	A non-prescriptive approach to each school was chosen.	The different routes by which staff had arrived in HE impacted on belief systems, e.g. on issues of equality.	Not applicable.		The project manager felt that the culture of the Faculty was one in which teamwork prevailed.

How would you assess the level of academic staff individualism? A seven point Likert scale was provided ranging from 1 *Individual* to 7 *Teamworking.*	• Preparation Phase • Planning • Culture/context assessment	5	4 But this was an average as there was a big range in the Faculty and the different Schools.	4 to 5	5 to 6		Mean = 4.75 Range 4 to 5.5 There was close agreement that the staff were more team orientated than individualistic.
3.3.3.3 Professional nature of academic staff? Yes/No.	• Preparation Phase • Planning • Culture/context assessment	Yes.	No.	Yes.	No.		The project manager and the Dean considered the issue of the professional nature of academic staff.
If yes, which issues were considered?	• Preparation Phase • Planning • Culture/context assessment	Staff were used to quality models within the public sector that they engaged with and therefore would be accepting of the EFQM Model.	Maybe there was an implicit understanding of this (professional discipline boundaries).	Staff see their professional responsibility to their discipline/ vocational background, but some consideration of themselves as HE staff was starting to emerge.	Not applicable.		The issues considered were: Staff were used to quality models within the public sector that they engaged with and therefore would be accepting of the EFQM Model. Staff see their professional responsibility to their discipline/ vocational background, but some consideration of themselves as HE staff was starting to emerge.

To what extent do you think that the academic staff see themselves as professionals? A seven point Likert scale was provided ranging from 1 *Low* to 7 *High.*	• Preparation Phase • Planning • Culture/context assessment	6	7	7	6		Mean = 6.5 Range 6 to 7 It was felt that staff see themselves as professionals to a high extent.
3.3.3.4 Academic Freedom/critical nature of academic staff? Yes/No.	• Preparation Phase • Planning • Culture/context assessment	No. Not initially.	Yes.	Yes.	No.		The issue of academic freedom/criticality was considered.
If yes, which issues were considered?	• Preparation Phase • Planning • Culture/context assessment	The issue came up later in the workshops. Academic freedom was seen as a barrier to implementation of the EFQM Model. There was critique of the EFQM Model and the basis of it.	The questioning nature of academics might help with self-assessment and in accepting others' approaches.	Staff were bound to critique and analyse the EFQM Model and this probably would be in a negative way (this actually happened and some amendments were made as a result). As a result the Faculty Executive needed to be ready to give a positive spin.	Not applicable.		This issue provided differing views. One interviewee thought that the questioning nature of academics might help with self-assessment but another thought that staff were bound to critique and analyse the EFQM Model and this probably would be in a negative way (this actually happened and some amendments were made as a result). As a result the Faculty Executive needed to be ready to give a positive spin.

How much academic freedom and criticality do you think the academic staff exercise? A seven point Likert scale was provided ranging from 1 *Low* to 7 *High.*	• Preparation Phase • Planning • Culture/context assessment	3	5	5	5		Mean = 4.5 Range 3 to 5 The academic staff were mainly seen as exercising a reasonable amount of academic freedom and criticality.
3.3.3.5 Recognition/Rewards for involvement in EFQM implementation? Yes/No/Not considered.	• Preparation Phase • Planning • Culture/context assessment	Not considered.	Not considered.	Not considered.	Not considered.		Recognition/Rewards for involvement in EFQM implementation were not considered.
If yes, why and which forms of recognition/ rewards were planned?	• Preparation Phase • Planning • Culture/context assessment	Funding for staff time was considered but not given.	Not applicable.	Not applicable.	Not applicable.		Funding for staff time was considered but not given.
If no, why not?	• Preparation Phase • Planning • Culture/context assessment	Not applicable.	Not applicable.	Not applicable.	Not applicable.		Not applicable.
3.3.3.6 Language/Terminology used in the EFQM Excellence Model. Was it tailored to suit the culture/context? Yes/No/Not considered.	• Preparation Phase • Planning • Culture/context assessment	Yes.	Yes.	Yes.	Not considered.		The language/terminology used in the EFQM Excellence Model was tailored to suit the culture/context.

If yes, why and what changes were made?	• Preparation Phase • Planning • Culture/context assessment	Examples that reflected the HE environment and live situations were included in workshops. Early workshops had been run by the expert centre and had been seen as too generic.	There would be a non-prescriptive approach to implementation. Relevant examples would need to be used in workshops in order to clarify how the EFQM Model fitted in.	It was felt that some language and concepts in the EFQM Model (e.g. RADAR Logic, Enablers) might be difficult to communicate. A decision was made to stick with the terminology, but to use HE examples to help explain the concepts.	There was a tendency to use simplified versions of the model from EFQM booklets.		It was felt that some language and concepts in the EFQM Model (e.g. RADAR Logic, Enablers) might be difficult to communicate. A decision was made to stick with the terminology, but to use HE examples to help explain the concepts. Examples that reflected the HE environment and live situations were included in workshops. Early workshops had been run by the expert centre and had been seen as too generic.
If no, why not?	• Preparation Phase • Planning • Culture/context assessment	Not applicable.	Not applicable.	Not applicable.	There wasn't much discussion of how the model would be implemented.		Not applicable.
3.3.3.7 Department/School/Faculty culture of support. Yes/No.	• Preparation Phase • Planning • Culture/context assessment	Yes.	No.	Yes.	Yes.		The issue of the Faculty culture of support was considered.
If yes, which issues were considered?	• Preparation Phase • Planning • Culture/context assessment	There was some apprehension. *"Will people support it?"*	Not applicable.	The Faculty Executive had to be seen to be committed.	The practical reassurance of the project manager.		There was some apprehension. *"Will people support it?"* The Dean realised that the Faculty Executive had to be seen to be committed.

Which of the points on this scale best describes the culture of support in your Department/School/Faculty? A seven point Likert scale was provided ranging from 1 *blame/fear* or *unsupportive/uncooperative* to 7 *supportive/cooperative.*	• Preparation Phase • Planning • Culture/context assessment	5 to 6	5 to 6 With some pockets of blame/fear.	4 to 6	5 to 6		Mean = 5.4 Range 5 to 5.5 There was a strongly shared view that the culture in the Faculty was supportive. One interviewee thought that there were some pockets of blame/fear.
3.4 Issues specific to the use of the EFQM Excellence Model	• Preparation Phase • Planning • EFQM Model specific choices						
3.4.1 Which approach to self-assessment was chosen? A list of possible approaches was provided derived from the literature review.	• Preparation Phase • Planning • EFQM Model specific choices	A hybrid approach of workshop and pro-forma.	A hybrid approach of questionnaire, workshop and pro-forma.	Workshop approach.	The interviewee didn't know.		The approach to self-assessment that was chosen was a hybrid approach of workshop and pro-forma.

Why was this approach chosen?	• Preparation Phase • Planning • EFQM Model specific choices	The Faculty had been told to use it by the expert centre. This approach had been included in the HEFCE project specification.	The interviewee wasn't aware of the reason for choosing this approach.	It was suggested by the project manager. It would provide an open method for *"ventilating"* views.	Not applicable.		This approach was chosen because The Faculty had been told to use it by the expert centre. This approach had been included in the HEFCE project specification.
3.4.2 Was a decision taken on whether to use scoring as part of the self-assessment process? Yes/No/Not considered.	• Preparation Phase • Planning • EFQM Model specific choices	The decision was taken not to use scoring.	The decision was taken not to use scoring.	The decision was taken not to use scoring.	Not considered.		The decision was taken not to use scoring.
If yes, why?	• Preparation Phase • Planning • EFQM Model specific choices	Not applicable.	Not applicable.	Not applicable.	Not applicable.		Not applicable.
What were the intended uses of the scores?	• Preparation Phase • Planning • EFQM Model specific choices	Not applicable.	Not applicable.	Not applicable.	Not applicable.		Not applicable.

If no, why not?	• Preparation Phase • Planning • EFQM Model specific choices	Not using scoring was part of the process recommended by the expert centre. Therefore the issue of scoring was not debated by the Faculty Executive.	Staff would loathe being marked. There was a culture of *"marking"*.	The Faculty didn't want to start competition. It was felt that the Faculty didn't have enough data to measure properly. Concerns about the *"league table effect"*. It was felt that they weren't sufficiently sophisticated to score.	Not applicable.		The reasons for not using scoring were: Not using scoring was part of the process recommended by the expert centre. Staff would loathe being marked. There was a culture of *"marking"*. The Faculty didn't want to start competition. It was felt that the Faculty didn't have enough data to measure properly. Concerns about the *"league table effect"*. It was felt that they weren't sufficiently sophisticated to score.
3.4.3 Was a decision taken on whether to amend the criterion weightings given in the model? Yes/No/Not considered.	• Preparation Phase • Planning • EFQM Model specific choices	Not considered.	Not applicable as scoring was not being used.	Not considered.	Not considered.		The issue of whether to amend the criterion weightings given in the model wasn't considered.
If yes, why and what were they changed to?	• Preparation Phase • Planning • EFQM Model specific choices	Not applicable.	Not applicable.	Not applicable.	Not applicable.		Not applicable.

If no, why were they used as in the model?	• Preparation Phase • Planning • EFQM Model specific choices	Not applicable.	Not applicable.	Not applicable.	Not applicable.		Not applicable.
3.4.4 Was a decision made to use RADAR logic in the implementation? Yes/No/Not considered.	• Preparation Phase • Planning • EFQM Model specific choices	Yes.	Yes.	Yes.	Not considered.		It was decided to use RADAR logic in the implementation.
If yes, why and how?	• Preparation Phase • Planning • EFQM Model specific choices	Its use wasn't planned in the early days because of a lack of understanding. It *"emerged"* later as a planning tool. On reflection the interviewee would now use it as a main tool.	The interviewee couldn't remember.	The project manager had suggested its use. The HEFCE project group had recommended it to her. It would provide a methodology for looking at things. It would be used to review and evaluate the business plan and to inform the next year's business plan.	Not applicable.		Its use wasn't planned in the early days because of a lack of understanding. It *"emerged"* later as a planning tool. The project manager had suggested its use. The HEFCE project group had recommended it to her. It would provide a methodology for looking at things. It would be used to review and evaluate the business plan and to inform the next year's business plan.
If no, why not?	• Preparation Phase • Planning • EFQM Model specific choices	Not applicable.	Not applicable.	Not applicable.	Not applicable.		Not applicable.

3.5 Demonstrating Senior Management Commitment	• Preparation Phase • Planning • Demonstrating SMC						
What actions were planned in order to demonstrate SMC to the implementation?	• Preparation Phase • Planning • Demonstrating SMC	All the members of the Faculty Executive (bar one) committed their time to be interviewed by the project manager as part of the first self-assessment. In June 2001 the Faculty Executive and the Associate Heads from the schools had an away day to consolidate the first year of the project. This was facilitated by the project manager and a member of the expert centre. In July 2001 the Faculty Executive committed to carrying out 6 monthly self-assessments.	There were review meetings after the school self-assessments between the Faculty Office and the school teams. There was general support available from senior staff on request.	It was decided not to leave everything to the project manager. The Dean and the HoSs would support the workshops. On reflection the Associate Deans and the faculty Administrator were not as *"high profile"* as they might have been.	7 key result areas were identified for the Faculty. Each Head of School was asked to complete a self-assessment for their school at 2 weeks notice. Heads of Schools worked with their School Executives. This was done in a *"managerialist way"* to respond to the short deadline. There was some communication about the project from the Dean.		The following actions were planned in order to demonstrate SMC to the implementation: It was decided not to leave everything to the project manager. The Dean and the HoSs would support the workshops. On reflection the Associate Deans and the faculty Administrator were not as *"high profile"* as they might have been. All the members of the Faculty Executive (bar one) committed their time to be interviewed by the project manager as part of the first self-assessment. In July 2001 the Faculty Executive committed to carrying out 6 monthly self-assessments.
Why were these approaches chosen?	• Preparation Phase • Planning • Demonstrating SMC	There was a conscious choice to focus on the schools with 7 key results areas identified at the Faculty level.	The meetings allowed consistency and the sharing of good practice.	They fitted in with the supportive culture of the Faculty. It was felt that commitment had to be shown.	To get the HoSs involved.		The reasons for these approaches were to get the HoSs involved as it was felt that commitment had to be shown.

3.6 Project Management	• Preparation Phase • Planning • Project Management						
3.6.1 Was a Steering Committee set up? Yes/No.	• Preparation Phase • Planning • Project Management	No. There was an attempt to set one up, but it didn't happen. The interviewee saw this as a weakness. Examples from other members of the HEFCE project consortium had demonstrated the value of a steering group. There was also some confusion about who was running the HEFCE project within the expert centre.	No.	Yes.	No.	Document D(vi), "Update meeting notes-Dean and Project Manager" 26/2/01 indicates that the Director of the Expert Centre was to set up a project steering group.	The Dean thought that a steering committee had been set up and the documentation indicated that there was an intention to set one up. The project manager corroborated this. There was an attempt to set one up, but it didn't happen. The interviewee saw this as a weakness. Examples from other members of the HEFCE project consortium had demonstrated the value of a steering group. There was also some confusion about who was running the HEFCE project within the expert centre.

If yes, why, when and who was involved?	• Preparation Phase • Planning • Project Management • Pace	Not applicable.	Not applicable.	To support the project manager and to get feedback from the project manager on the progress of the implementation in the Faculty and in the HEFCE project. The steering group was set up at the point at which the decision was made to use the EFQM Model. The steering group was made up of the Dean, the project manager, the Faculty Administrator and one of the Associate Deans. It only met infrequently, normally it was just the Dean and the project manager and some discussion of progress in Faculty Executive meetings.	Not applicable.		
3.6.2 Was a Project Manager appointed? Yes/No.	• Preparation Phase • Planning • Project Management	Yes.	Yes.	Yes.	Yes. An Associate Head from one of the schools in the Faculty.		A project manager was appointed who was an Associate Head from one of the schools in the Faculty.
If yes, when?	• Preparation Phase • Planning • Project Management	July 2000.	Mid 2000.	At the start of the project.	Prior to the decision to use the model being taken by the Faculty Executive.		The project manager was appointed in July 2000.

Did the Project Manager have previous knowledge of or experience with the EFQM Excellence Model?	• Preparation Phase • Planning • Project Management	A little insight into it from work in one of the public sectors and some superficial information on it.	Probably, the Project Manager had an MBA and worked with a part of the public sector in which the EFQM Model was used extensively.	The interviewee didn't know.	The interviewee thought that the Project Manager might have had some knowledge of the model from a MSc that the Project Manager had studied.		The project manager had a little insight into the EFQM Model from work in one of the public sectors and some superficial information on it.
Did the Project Manager have previous project management experience?	• Preparation Phase • Planning • Project Management	The project manager had been involved in many quality projects within her own school but had no experience of large, funded projects.	The interviewee wasn't aware of any.	Not much, however the individual was very keen to get involved.	Yes, through other projects that the Project Manager had managed in her own School.		The project manager had been involved in many quality projects within her own school but had no experience of large, funded projects. The Dean said that the project manager was very ken to get involved.
What training did the Project Manager receive and when?	• Preparation Phase • Planning • Project Management • Pace	3-4 day EFQM self-assessment training I September 2000. PRINCE 2 project management methodology training in December 2000. Training in the expert centre's implementation approach, about March 2001.	The interviewee was aware that the Project Manager had received some but didn't know specifically in what.	Some sessions with the HEFCE funded group. The interviewee wasn't sure when this happened.	The interviewee wasn't really aware of any training received by the Project Manager, but was aware that the Project Manager attended workshops with members of the HEFCE Project Group.	Document D(i), "EFQM Assessor Training Certificate" *indicates that* the project manager was trained on 21/9/00. Document D(vi) "*Update meeting* notes-Dean and project manager" 26/2/01 shows that the project manager had undergone EFQM assessor training in September 2000 and PRINCE 2 project management methodology training in	The project manager received the following training: 3-4 day EFQM self-assessment training I September 2000. PRINCE 2 project management methodology training in December 2000. Training in the expert centre's implementation approach, about March 2001.

						December 2000.	
3.6.3 Was a project plan constructed? Yes/No.	• Preparation Phase • Planning • Project Management	Yes. The project manager didn't see the expert centre's project plan until the project had been underway for about 6 months.	Yes.	Yes. It was integrated in with existing work so that it would not be seen as extra work.	This only had some loose notions of timescales.	Document D(ii), "Meeting note Dean and Project Manager" 3/10/00 indicates planned self-assessments for April 2001, October 2001 and April 2002.	There was an outline project plan in the Faculty. It appeared that the expert centre also had a project plan which the project manager didn't see the expert centre's project plan until the project had been underway for about 6 months.
Was the pace of implementation considered in the planning, if so how?	• Preparation Phase • Planning • Project Management • Pace	No it wasn't. The HEFCE project had started in May 2000 and the project manager had only started in September 2000. Therefore the Project Manager had not been involved in the development of the project plan.	Yes. *"Slowly, slowly, steady".*	It was fitted in around the business planning cycle. The plan was reviewed, amended and adapted at 6 monthly intervals. There were agreed actions.	Yes, the idea was to move relatively quickly, but not to rush and not to lose momentum.	Document D(ii), "Meeting note Dean and Project Manager" 3/10/00 indicates planned self-assessments for April 2001, October 2001 and April 2002.	The views on the planned pace of implementation were varied, from slow to relatively quick. The implementation was fitted in around the business planning cycle.

Who was involved in constructing the project plan?	• Preparation Phase • Planning • Project Management	The expert centre. The project manager reworked it about 12-18 months into the project.	The Project Manager who then shared it with the Faculty Executive.	The Project Manager, the Dean and the HoSs.	The Faculty Executive constructed the "loose" plan. The Project Manager constructed a more detailed plan.	Document D(ii), "Meeting note Dean and Project Manager" 3/10/00 indicates planned self-assessments for April 2001, October 2001 and April 2002. This appears to have been done by the Project Manager and the Dean. Document D(iii), "Presentation to Faculty Executive" 2/11/00 shows that the above plan was shared with the Faculty Executive.	The project manager stated that the project plan had been constructed by the expert centre. The other three interviewees thought that the project manager had constructed it. The project manager reworked it about 12-18 months into the project.
Was the implementation piloted and then rolled out or done across the case study organisation?	• Preparation Phase • Planning • Project Management	Across the Faculty.	It was done across all 3 schools but not the Faculty Office (to start with).	It was implemented across all 3 schools at once.	The implementation was Faculty-wide (all 3 schools) but didn't include the Faculty Office.		The implementation was Faculty-wide (all 3 schools) but didn't include the Faculty Office to start with.

Why was this approach chosen?	• Preparation Phase • Planning • Project Management	The Faculty was cohesive and compliant. The Faculty was used to carrying out Faculty-wide initiatives.	*"It just seemed logical".* Key Performance Indicators had been developed at Faculty level. A pilot would have limited the sharing of good practice.	It seemed to be the right thing to do. It provided everyone with a chance to be involved.	Because of the timescales decided as part of the HEFCE project.		The reasons for the Faculty-wide implementation were: *"It just seemed logical".* It seemed to be the right thing to do. The Faculty was cohesive and compliant. The Faculty was used to carrying out Faculty-wide initiatives. It provided everyone with a chance to be involved. A pilot would have limited the sharing of good practice.
Which other major initiatives/projects were taking place at the same time as the EFQM Excellence Model implementation?	• Preparation Phase • Planning • Project Management	One of the schools was a new pilot site for its subject area. One school was *"recovering"* from a March 2000 QAA subject review. One other school had a QAA subject review within the timescale of the EFQM project. Two schools had internal school reviews. Research was being grown across the Faculty from a low base. New taught programmes were starting. The Faculty retendered for a major	Subject reviews in one school. Some course specific problems. Not too many competing projects.	The renewal of some major teaching contracts. The usual busy agenda. The interviewee couldn't recall anything major.	A reorganisation of sub-units within one of the schools. The development of a significant new degree programme. A push to improve Research in the Faculty. A planned reduction in teaching hours. *"Balancing the University's books".* A School QA review in early 2002. These were primarily school projects.		There were some initiatives and projects taking place at the same time as the EFQM implementation. One of the interviewees didn't think there was anything major and another thought that there weren't too many competing projects.

		teaching contract.					
3.6.4 How was progress of the project monitored and by whom?	• Preparation Phase • Planning • Project Management • Momentum	The project manager reported to the Dean about every 2 months. The project manager reported to the HEFCE consortium about every 3 months. The project manager met with another project manager from another Faculty in the same university and the programme manager from the expert centre on a monthly basis. The project manager attended *"sharing the learning"* meetings in the expert centre about every 3 months.	Six monthly meetings between the school teams and the Faculty Office.	By the project manager meeting with the Dean and feeding this into the Faculty Executive.	By the Dean and the Project Manager. It was sometimes discussed at the Faculty Executive. The Heads of Schools sometimes discussed it with the Project Manager.	Document D(vi) "Update meeting notes-Dean and Project Manager" 26/2/01 notes a discussion on the project's progress. Document D(xviii), "Project Board Meeting" 19/9/02 is the notes of the meeting in which progress was checked. Document D(xxi), "Project Board Meeting" 25/11/02 is the notes of the meeting in which progress was checked.	Progress of the project was monitored by the project manager reporting to the Dean about every 2 months. It was sometimes discussed at the Faculty Executive. The project manager reported to the HEFCE consortium about every 3 months. The project manager met with another project manager from another Faculty in the same university and the programme manager from the expert centre on a monthly basis. The project manager attended *"sharing the learning"* meetings in the expert centre about every 3 months.

3.6.5 What resources were allocated to the project and when?	• Preparation Phase • Planning • Project Management	A half-time project manager for the period July/September 2000 to May 2003.	A half-time project manager. Some staff got workload relief in the schools, for others the time spent on self-assessments was a substitute for other management activities.	A half-time project manager.	A half-time Project Manager at the start of the project. Some of the School Executive members' time when the self-assessments were being conducted.		The resources which were allocated to the project were: A half-time project manager for the period July/September 2000 to May 2003. Some staff got workload relief in the schools, for others the time spent on self-assessments was a substitute for other management activities. Some of the School Executive members' time when the self-assessments were being conducted.
3.7 Education and Training	• Preparation Phase • Planning • Education and Training						

What education and training was planned to be carried out to support the implementation?	• Preparation Phase • Planning • Education and Training	Workshops run by the expert centre. Workshops run by the project manager with the School Executives, Executive Officers and other interested parties. Planned not to carry out assessor training for staff.	The interviewee wasn't aware of what training was planned. The interviewee remembered receiving some EFQM booklets and attending a workshop for the Faculty Executive.	Workshops to explain the model.	None other than that for the Project Manager.	Document D(ii), "Meeting notes Dean and Project Manager" 2/10/00 Indicates planned training as follows: Presentation to Faculty Executive. Presentation to Faculty Staff. Ongoing education and support to key people and staff. Document D(vi) "Update meeting notes-Dean and project manager" 26/2/01 show the plan to invite the Faculty Executive to the EFQM study days on 20/21 March 2001. Document D(viii), "EFQM Workshop invitation" 1/5/01 shows that two full day workshops were being planned for 16 and 17/7/01. Document D(xix), "Faculty office Workshop Agenda" 4/10/02 shows the plan for a self-assessment workshop with the Faculty Office staff.	A range of education and training was planned to be carried out to support the implementation. A presentation to Faculty Executive. A presentation to Faculty Staff. The Faculty Executive were to attend the EFQM study days on 20/21 March 2001. Two full day workshops were planned for 16 and 17/7/01. A self-assessment workshop with the Faculty Office staff planned for 4/10/02. It was planned not to carry out assessor training for staff.

Why?	• Preparation Phase • Planning • Education and Training	Assessor training was seen as *"too traumatic"*. The expert centre had a 2 day workshop but it was felt that it focussed too much on scoring and so it wasn't used.	Not applicable.	To explain the use of the model and raise awareness.	The project manager was to be the main knowledge base.		The reasons for the planned training were: To explain the use of the model and raise awareness. The project manager was to be the main knowledge base. Assessor training was seen as *"too traumatic"*.
Who for?	• Preparation Phase • Planning • Education and Training	Described above.	Not applicable.	For *"leading"* staff in each school.	Just the Project Manager.		
When?	• Preparation Phase • Planning • Education and Training • Pace	Within the first year.	Not applicable.	Within the first 12 months.	Early in the project.		Most of the training took place within the first 12 months of the project.
Who by?	• Preparation Phase • Planning • Education and Training	Initial sessions were run by staff from the expert centre with subsequent ones run by the project manager.	Not applicable.	The project manager.	The interviewee didn't know who was to carry out the training.		Initial sessions were run by staff from the expert centre with subsequent ones run by the project manager.
Was an external consultant used? Yes/No.	• Preparation Phase • Planning • Education and Training	Yes. The internal expert centre.	*"Sort of"*. An expert from an internal centre was at the initial Faculty away day.	Yes. The project manager for the HEFCE funded project.	No, however there *was some support from the internal centre mentioned earlier.*	"EFQM Workshop *invitation" 1/5/01* shows that two full day workshops were *being planned for* 16 and 17/7/01 using the expert centre.	An internal consultant from the expert centre and the project manager for the HEFCE funded *project were used.*

What was the reason for this choice?	• Preparation Phase • Planning • Education and Training	The expert centre had acquired the project initially and were expected to be involved.	To get some expert support at the start.	This was a free resource available from the HEFCE funded project. It was a way of gaining from the experiences of the other HEIs.	There was an assumption that the Centre had expertise in this area. The Centre had a good reputation.		The reasons for using these consultants were: The expert centre had acquired the project initially and were expected to be involved. To get some expert support at the start. The HEFCE project manager was a free resource and this was a way of gaining from the experiences of the other HEIs.
3.8 Communication	• Preparation Phase • Planning • Communication						
What communication was planned about the implementation?	• Preparation Phase • Planning • Communication	Email to all Faculty staff (this was seen as being the least effective). Information on one of the school's websites. Workshops. Presentations at external conferences.	There was no plan.	Word of mouth. Workshops. Meetings.	There wasn't too much planning. There was a feeling of *"Let's get started"*. Enlarged Faculty Executive meetings (with School Executive Members) Heads of Schools were to communicate with School Executives because of a belief that the *"School knows best"*. There was little communication beyond this because of concerns about adverse impacts on staff workloads.		There didn't appear to have been a communications plan, although various means of communication were employed such as email, meetings, word of mouth. The communication didn't really go much below the members of the school executives.

Why?	• Preparation Phase • Planning • Communication	The plan was to work down the layers of the Faculty.	Not applicable.	These seemed to be the right things to do.	Heads of School were best-placed to know about the politics and practicalities of getting support within the schools. This was to be supported by the project manager.		The main reason for this approach to communication was that Heads of School were best-placed to know about the politics and practicalities of getting support within the schools. This was to be supported by the project manager.
When?	• Preparation Phase • Planning • Communication • Pace	Within the first year.	Not applicable.	These were planned in the *"early days"*.	Soon after the initial discussions about using the model.		There was no real plan for when the communication would take place.
3.9 Planned involvement in the implementation process and use of the EFQM Excellence Model.	• Preparation Phase • Planning • Staff Involvement and Teamwork						

Who?	• Preparation Phase • Planning • Staff Involvement and Teamwork	The members of the Faculty Executive and School Executives. Involvement beyond that was to be decided in each school. Below the School Executive level, staff later became involved in improvement projects. This evolved later, it wasn't planned initially.	This was left to each school to decide.	The Dean's and Project Manager's expectations were: The schools' SMTs. A broad spectrum of staff in each school.	School Executives.	Document D(ii), "Meeting notes Dean and project Manager" 3/10/00 indicates that it was planned to involve the Faculty Executive, the Project Manager and a link person from each of the three schools in the Faculty. Document D(xxiii), "Planning Document for EFQM self-assessment" (undated) lists the members of the Dean's review team (the Faculty Executive) and the School teams (HoS plus others chosen by the HoS).	It was planned to involve the Faculty Executive, the Project Manager and a link person from each of the three schools in the Faculty. The Dean's and Project Manager's expectations were: The schools' SMTs. A broad spectrum of staff in each school.
Why?	• Preparation Phase • Planning • Staff Involvement and Teamwork	The advice from the expert centre was to go top-down to get commitment.	To allow for the different school cultures.	It was delegated to provide leadership for the implementation and the model was supportive of this.	Explained in 3.8.		The involvement was planned in this way because the advice from the expert centre was to go top-down to get commitment.

How?	• Preparation Phase • Planning • Staff Involvement and Teamwork	Using self-assessment and review meetings.	This was left to the schools.	The model would be used to look at work that was currently being done so that it wouldn't be seen as a *"massive mindshift"*. Not *"more paperwork for people"* (although it came across as this initially).	By the production of a self-assessment report.		The main mechanism for involvement was self-assessment workshops.
Was the use of teams considered? Yes/No.	• Preparation Phase • Planning • Staff Involvement and Teamwork	Yes.	Yes.	Yes.	No.		The use of teams was considered.

If yes, why were teams used and how were they deployed?	• Preparation Phase • Planning Staff Involvement and Teamwork	Teams were seen as the best way to focus on the seven key result areas. The teams would help to get ownership by more people not just the HoS. The 3 schools each set up a team but the Faculty administration didn't.	The Faculty Executive's expectation was that teams would be set up in each school, but one school delegated the self-assessment to two staff who were not on the school executive.	The implementation needed to be led by a group of individuals. The school teams assisted the HoSs in developing and evaluating business plans and the annual review of taught programmes. It was done differently in the 3 schools: One school Head didn't have a team, but used the EFQM Model to restructure the school. One school used the SMT of the school. One school used staff from outside the school's SMT to carry out the self-assessments.	Not applicable.		Teams were seen as the best way to focus on the seven key result areas. The teams would help to get ownership by more people not just the HoS. The 3 schools each set up a team but the Faculty administration didn't. The school teams assisted the HoSs in developing and evaluating business plans and the annual review of taught programmes. It was done differently in the 3 schools: One school Head didn't have a team, but used the EFQM Model to restructure the school. One school used the SMT of the school. One school used staff from outside the school's SMT to carry out the self-assessments.
If no, why weren't teams used?	• Preparation Phase • Planning • Staff Involvement and Teamwork	Not applicable.	Not applicable.	Not applicable.	Not applicable.		Not applicable.

4. MOMENTUM	• Implementation and Evaluation Phase • Momentum						
4.1 Improvement Planning, Action and Review after self-assessment	• Implementation and Evaluation Phase • Momentum • Improvement Planning, Action and Review						
When was this carried out?	• Implementation and Evaluation Phase • Momentum • Improvement Planning, Action and Review • Pace	November 2001.	About one year into the project.	6 months into the project.	The first school self-assessments were done in February 2002 and was followed by improvement planning with the Faculty Office. March 2002.	Documents D(xi) 19/1101, D(xii) 27/11/01and D(xiii) 27/11/01, "EFQM School Review meeting and Action Plan" record the dates of the first round of this. Documents D(xiv) 14/5/02, D(xv) 7/5/02 and D(xvi) 21/5/02 record the second round of this. Document D(xx) 12/11/02, "EFQM 3rd school review meeting" records the 3rd round of this (documents for the other two schools were seen, but not included in the case study database).	Improvement Planning, Action and Review after self-assessment was carried out in November 2001, May 2002 and November 2002.

Who by?	• Implementation and Evaluation Phase • Momentum • Improvement Planning, Action and Review	The School Executives meeting with the Faculty Executive and the Project Manager.	By each school group.	The Dean, 3 Associate Deans and the Faculty Administrator met with teams of three from each school. The Project Manager took notes of the agreed actions.	The School Executives working with the Faculty Office.	Documents D(xi) 19/1101, D(xii) 27/11/01, D(xiii) 27/11/01 and Documents D(xiv) 14/5/02, D(xv) 7/5/02, D(xvi) 21/5/02 and D(xx) 12/11/02, "EFQM School Review meeting and Action Plan" record that this was done by the Faculty Executive and a team from each school.	This took place by the Dean, 3 Associate Deans and the Faculty Administrator meeting with teams of three from each school. The Project Manager took notes of the agreed actions.
How was this carried out?	• Implementation and Evaluation Phase • Momentum • Improvement Planning, Action and Review	By review meetings.	By meetings with the Faculty Office.	The school action plan was based on objectives from an initial evaluation. The Faculty Office produced action plans. Two-hour sessions made up of a presentation to the Faculty Office from the school, discussion and agreement of actions for the next 6 months took place.	A self-assessment report was presented to the members of the Faculty Office (Dean, Associate Deans, Faculty Administrator, Faculty Business Manager).	Documents D(xi) 19/1101, D(xii) 27/11/01, D(xiii) 27/11/01 and Documents D(xiv) 14/5/02, D(xv) 7/5/02, D(xvi) 21/5/02 and D(xx) 12/11/02, "EFQM School Review meeting and Action Plan" record the discussion process for agreeing on improvement actions.	The school action plan was based on objectives from an initial evaluation. The Faculty Office produced action plans. Two-hour sessions made up of a presentation to the Faculty Office from the school, discussion and agreement of actions for the next 6 months took place.

Why was it done in this way?	• Implementation and Evaluation Phase • Momentum • Improvement Planning, Action and Review	This approach was outlined by the expert centre.	This ensured that the improvement actions fitted with the Key Performance Indicators.	It seemed sensible to talk around the table. It was a *"touchy, feely"* Faculty. It helped the Faculty Office and the schools to learn about each other.	The Dean had asked for it to be done in this way.		It was done in this way as this approach was outlined by the expert centre. This ensured that the improvement actions fitted with the Key Performance Indicators. It seemed sensible to talk around the table. It was a *"touchy, feely"* Faculty. It helped the Faculty Office and the schools to learn about each other.
Was there any particular emphasis? E.g. quick wins, impact.	• Implementation and Evaluation Phase • Momentum • Improvement Planning, Action and Review	Some quick actions. Some bigger projects.	To ensure that the improvement projects focussed on the University's agreed objectives.	"Quick Wins" might have been too cynical, but some changes needed to be seen to be happening. The emphasis was different for each school. One school concentrated on student retention. One school concentrated on restructuring the school sub-units.	There was no particular emphasis. The Schools were to report back in 6 months on progress on the issues raised by the Faculty Office.		The emphasis was on some quick wins so that changes were seen to be happening and some bigger projects, which focussed on the University's agreed objectives. The emphasis was different for each school.
4.2 Did the implementation progress on schedule? Yes/No.	• Implementation and Evaluation Phase • Momentum • Pace	Yes.	Yes.	Yes.	Yes. Although the Faculty Office had to be "pushed" to use the model, i.e. to conduct self-assessment on itself.		The implementation progressed on schedule although one interviewee thought that the Faculty Office had to be "pushed" to use the model, i.e. to conduct self-assessment on itself.

If not, why not?	• Implementation and Evaluation Phase • Momentum • Pace	Not applicable.	Not applicable.	Not applicable.	Not applicable.		Not applicable.
How was momentum regained?	• Implementation and Evaluation Phase • Momentum • Pace	Not applicable.	Not applicable.	Not applicable.	Not applicable.		Not applicable.
What communication took place to inform staff about progress with the implementation?	• Implementation and Evaluation Phase • Momentum • Communication	The interviewee presumed that the action plans were shared with staff in the schools by the school executives. There were problems in one school who had appointed 2 *"champions"* who weren't members of the school executive. The school executive disengaged from the process.	None across the Faculty.	There was no Faculty-wide communication, the interviewee assumed that communication had taken place within each school.	There was some reference to it in the School Council (a representative body). There was a passing mention to it in the School Congress (which can be attended by all school staff).	Document D(vi), "Update meeting notes-Dean and project manager" 26/2/01 records that the project web site was circulated to Faculty academic staff in February 2001.	Progress with the implementation was communicated by circulating the project web site to Faculty academic staff in February 2001. The interviewee presumed that the action plans were shared with staff in the schools by the school executives.

4.3 Were the expected benefits of using the Excellence Model achieved? Yes/No.	• Implementation and Evaluation Phase • Momentum • Evaluation of benefits	Yes. Although the benefits accrued were not expected at the start of the project. The school executives stopped to think about objectives and improvements. The dialogue between the Faculty and school executives resulted in better understanding. Issues raised by schools from self-assessment were reinforced at Faculty level. It was an aid to business planning.	Mostly, but better in some schools than others.	Yes. The Faculty know a lot more about each other by using the EFQM Model. The Faculty is results driven, but now there is more focus on enablers too.	Although the first self-assessment had been done at short notice (and was therefore *"banged out"*) and was done in the run up to a School QA Review, it was well received by the Faculty Office. On reflection, it was felt that this first self-assessment had helped with the School Review. There was a *"better feel"* for the February 2003 self-assessment. It was felt that this was helping with preparations for a forthcoming QAA Institutional Audit. The model was growing in value to the interviewee's school. It was being used in all 7 sub-units. The Directors of the sub-units were starting to involve some other staff in the process.		The expected benefits of using the Excellence Model were achieved. The Faculty know a lot more about each other by using the EFQM Model. The Faculty is results driven, but now there is more focus on enablers too. The model was growing in value to one interviewee's school. It was being used in all 7 sub-units. The Directors of the sub-units were starting to involve some other staff in the process. In addition there were some unexpected benefits. The school executives stopped to think about objectives and improvements. The dialogue between the Faculty and school executives resulted in better understanding. Issues raised by schools from self-assessment were reinforced at Faculty level. It was an aid to business planning.

If not, what were the major barriers to achieving these benefits?	• Implementation and Evaluation Phase • Momentum	The Faculty Office didn't carry out their actions after the self-assessments and this annoyed the schools. The project manager chose not to *"interfere"* too much in the schools and Faculty team. This was because they needed to become self-sufficient. However the Faculty team didn't always carry out the action plans.	Not applicable.	Not applicable.	The initial barrier was the clash in timing of the self-assessment with the School Review.		The major barriers to achieving the benefits were: The Faculty Office didn't carry out their actions after the self-assessments and this annoyed the schools. The project manager chose not to *"interfere"* too much in the schools and Faculty team. This was because they needed to become self-sufficient. However the Faculty team didn't always carry out the action plans.
4.4 Do you think the pace of implementation was: too slow, too quick, about right?	• Implementation and Evaluation Phase • Momentum • Pace	Too quick to start with. It was felt that enough time hadn't been allowed for education and training. About right for the implementation of self-assessment.	Too slow (a little).	About right.	About right.		Overall the pace of implementation was seen as being about right. The project manager thought that the pace was too quick to start with. The project manager felt that enough time hadn't been allowed for education and training, but the pace was about right for the implementation of self-assessment.

Why do you think this?	• Implementation and Evaluation Phase • Momentum • Pace	There had been an assumption that staff had prior knowledge of the EFQM Model and so the education and training needs had been underestimated.	Some momentum was lost. Once the HEFCE project finished, one school saw it as *"What's next?"*	The approach used enabled people to come on board at their own pace. A feeling that *"it was about right"*.	As the self-assessments were fitted into an annual cycle, it was not realistic for it to have happened more quickly.		As the self-assessments were fitted into an annual cycle, it was not realistic for it to have happened more quickly. The approach used enabled people to come on board at their own pace. There had been an assumption that staff had prior knowledge of the EFQM Model and so the education and training needs had been underestimated.
4.5 Was senior management commitment maintained throughout the implementation? Yes/No	• Implementation and Evaluation Phase • Momentum • Demonstrating SMC	Yes, verbally but sometimes let down by inaction.	Yes. In the Faculty Executive, but perhaps it was waning towards the end.	Yes.	Yes. Although the Schools were concerned that the Faculty Office hadn't self-assessed in the first round (this was corrected in year 2). This self-assessment was not shared with the school executives. The interviewee thought that this might be because the Faculty Office felt vulnerable.		Overall it was felt that SMC had been maintained throughout the implementation. One interviewee thought that SMC was waning in the Faculty Executive towards the end. The fact that the Faculty Office didn't self-assess in the first round and didn't share their self-assessments with the schools in the 2nd round meant that one interviewee doubted the SMC.

How was senior management commitment demonstrated during the implementation?	• Implementation and Evaluation Phase • Momentum • Demonstrating SMC	They supported self-assessment The Faculty Office team came together after the concerns about their inaction had been raised by the schools. The Faculty Executive had agreed to continue with the self-assessment beyond the end of the HEFCE funded project with the project manager acting as the facilitator.	In the six-monthly review meetings. By addressing school concerns highlighted through the self-assessments which were appropriately the responsibility of the Faculty.	The Dean was present at all but one of the school review meetings. The Dean provided support to the Project Manager. The Dean spoke about the project with each HoS. The Faculty *"kept at it"* despite a lack of support and understanding from the rest of the University (except for one PVC).	The Faculty Office reviewed the School self-assessments. The School Executives produced self-assessment documents. Self-assessments were being used to feed in to the business planning process.	Documents D(xi) 19/1101, D(xii) 27/11/01and D(xiii) 27/11/01, "EFQM School Review meeting and Action Plan" show the involvement of the Faculty Executive in the review meetings. Documents D(xiv) 14/5/02, D(xv) 7/5/02 and D(xvi) 21/5/02, "EFQM 2nd School review meeting" show the involvement of the Faculty Executive in the 2nd round of review meetings. Document D(xx) 12/11/02, "EFQM 3rd school review meeting" shows the involvement of the Faculty Executive in the 3rd round of review meetings.	SMC was demonstrated during the implementation by: The Dean was present at all but one of the school review meetings. The Dean provided support to the Project Manager. The Dean spoke about the project with each HoS. The Faculty *"kept at it"* despite a lack of support and understanding from the rest of the University (except for one PVC). The Faculty Office reviewed the School self-assessments. The School Executives produced self-assessment documents.

What helped to maintain senior management commitment?	• Implementation and Evaluation Phase • Momentum • Demonstrating SMC	The Faculty Executive had agreed to the project and felt loyal to it. The personality of the Dean.	All believed it was a good thing to do.	The Faculty was committed to the 3 year HEFCE funded project.	Some use of *"the stick"*. The formal report to the Dean (Faculty Office). Some use of *"the carrot"*. The school was getting value from using it.		The following helped to maintain SMC: The Faculty Executive had agreed to the project and felt loyal to it. The personality of the Dean. The Faculty was committed to the 3 year HEFCE funded project. Some use of *"the stick"*. The formal report to the Dean (Faculty Office). Some use of *"the carrot"*. The schools were getting value from using it. The Faculty Executive all believed it was a good thing to do.
If senior management commitment was not maintained what affected it?	• Implementation and Evaluation Phase • Momentum • Demonstrating SMC	Not working as a team in the Faculty Office.	There was one acrimonious review meeting between the Faculty Office and one school's team. It was very *"blame"* focussed. The Faculty Office hadn't self-assessed, only the schools.	Not applicable.	The Faculty Office did not deliver on appropriate action plan elements from the first set of self-assessments. This had demotivated the schools.		The only issue that affected SMC negatively was the fact that the Faculty Office didn't self-assess at first and didn't deliver on their action plan elements from the first set of school self-assessments.

Were there any changes in senior management during the course of the implementation? Yes/No	• Implementation and Evaluation Phase • Momentum • Demonstrating SMC	Yes. There had been a consistent Faculty Executive and fairly consistent School Executives.	No.	No. This degree of consistency in the membership of the Faculty Executive helped. New HoSs had been identified a year in advance of their start date to help with continuity.	Yes, but only very minor.		There had only been very minor changes in the senior management during the implementation. The Dean thought that this degree of consistency in the membership of the Faculty Executive had helped.
If so, which positions and when?	• Implementation and Evaluation Phase • Momentum • Demonstrating SMC	One of the Associate Deans had changed very early in the life of the project.	Not applicable.	Not applicable.	One Associate Dean had changed in the very early part of the implementation. Otherwise the Faculty Executive had been a very stable group.		One Associate Dean had changed in the very early part of the implementation. Otherwise the Faculty Executive had been a very stable group.
To what extent do you think senior management commitment was demonstrated during the implementation? A Likert scale was provided from 1 *None* to 7 *Full.*	• Implementation and Evaluation Phase • Momentum • Demonstrating SMC	5 Senior Management *"stuck with it".*	6	5	5		Mean = 5.25 Range 5 to 6 There was a consistent view that SMC had been maintained to quite a high extent during the implementation. The project manager thought that senior management *"stuck with it".*
4.6 Was the planned level of resources maintained during the implementation? Yes/No	• Implementation and Evaluation Phase • Momentum • Project Management	Yes.	Yes.	Yes.	Yes.		The planned level of resources was maintained throughout the implementation.

If not, what affected this?	• Implementation and Evaluation Phase • Momentum • Project Management	Not applicable.	Not applicable.	Not applicable.	Not applicable.		Not applicable.
If yes, was the level of resources sufficient?	• Implementation and Evaluation Phase • Momentum • Project Management	Yes, but the project manager had difficulties in managing her overall workload.	No, not enough resource was provided in the schools because of competing priorities.	Perhaps some clerical support for the Project Manager would have helped.	Yes.		There were some concerns that the level of resources was not sufficient. The project manager had difficulties in managing her overall workload. The Dean thought that some clerical support for the Project Manager would have helped. The senior Faculty Administrator felt that not enough resource was provided in the schools because of competing priorities.

4.7 Was the planned staff training carried out?	• Implementation and Evaluation Phase • Momentum • Education and Training	Yes. In years 1 and 2 but not as much *"consolidation"* training in year 3.	Yes.	Yes.	None had been planned.	Document D(iii), "Presentation to Faculty Executive" 2/11/00 is the content of this presentation which introduced the HEFCE project, the EFQM Model and self-assessment. Document D(ix), "Workshop A" 16 July 2001 shows the programme for a one day workshop introducing the EFQM Model and self-assessment. Document D(x), "Workshop B" 17 July 2001 shows the programme for a one day workshop linking the use of the EFQM model to the Faculty's stakeholders and outlining how self-assessment was to be introduced.	The planned staff training had been carried out. The project manager felt that there should have been some *"consolidation"* training in year 3.
If not, why not?	• Implementation and Evaluation Phase • Momentum • Education and Training	Not applicable.	Not applicable.	Not applicable.	Not applicable.		Not applicable.

What effect did this have on the implementation?	• Implementation and Evaluation Phase • Momentum • Education and Training	The gap between when the training took place and the involvement of staff was sometimes too large. The training helped staff think more inclusively and holistically. The EFQM Model was being used for other processes, e.g. developing the international strategy.	There was a lack of widespread awareness.	The commitment of the project manager enthused the staff, the EFQM Model was sold well.	Not applicable.		The training had the effect of helping staff think more inclusively and holistically. The commitment of the project manager enthused the staff, the EFQM Model was sold well. One interviewee was concerned that there was a lack of widespread awareness. The project manager thought that the gap between when the training took place and the involvement of staff was sometimes too large.
4.8 Was there any recognition of or rewards for staff involved in EFQM implementation?	• Implementation and Evaluation Phase • Momentum • Recognition and Rewards	Not directly. A member of staff who had been involved in using the EFQM Model in one school included this in their application for promotion to senior lecturer in which they were successful.	No.	No.	No.		There was no recognition of or rewards for staff involved in EFQM implementation.
5. INTEGRATION	• Implementation and Evaluation Phase • Integration						

5.1 How many organisational levels was the EFQM Excellence Model implemented in?	• Implementation and Evaluation Phase • Integration • Multi-level use in the organisation	2 levels. Faculty and School.	2 levels. Faculty and the Schools.	2, the Faculty and the Schools.	3 levels. Faculty, 3 schools, school sub-units.		The EFQM Model was implemented in 2 organisational levels generally, the Faculty and the schools, and in the sub-units (a third level) in one school.
5.2 How was RADAR logic used in the implementation?	• Implementation and Evaluation Phase • Integration • Actual uses of the EFQM Model	As a planning tool, e.g. for the use of teaching rooms.	The interviewee couldn't remember.	As a way of thinking about constantly reviewing what staff were doing.	It was used as the basis for the self-assessment report.		RADAR Logic was used in a number of ways in the implementation: As a planning tool, e.g. for the use of teaching rooms. As a way of thinking about constantly reviewing what staff were doing. It was used as the basis for the self-assessment report.
5.3 Was the planned level of staff involvement with the EFQM Excellence Model achieved?	• Implementation and Evaluation Phase • Integration • Staff Involvement and Teamwork	Yes. However there had been problems caused by the use of *"champions"* in one school (mentioned earlier).	Yes, at the school level.	Yes, but involvement was patchy with more involvement in some schools than others.	Yes. The plan was to involve School Executives and this had been achieved. There hadn't been much involvement of staff beyond this.		The planned level of staff involvement with the EFQM Excellence Model had been achieved, but involvement was patchy with more involvement in some schools than others. The plan was to involve School Executives and this had been achieved. There hadn't been much involvement of staff beyond this. There had been problems caused by the use of *"champions"* in one school. This had resulted in the School Executive not being fully involved in the self-assessment.

If not, why not?	• Implementation and Evaluation Phase • Integration • Staff Involvement and Teamwork	Not applicable.	Not applicable.	Not applicable.	Not applicable.		Not applicable.
5.4 How many rounds of self-assessment have been carried out and when?	• Implementation and Evaluation Phase • Integration • Actual uses of the EFQM Model • Pace	Three. November 2001. May 2002. November 2002/ February 2003. November 2003 (planned).	3 or 4 in a cycle of November and May.	Three, in the early parts of 2001, 2002 and 2003. The self-assessments were then fed into the business plans.	2 rounds in the schools in February 2002 and February 2003 with 6 monthly progress reviews. In February 2003, self-assessments had also been carried out by the Faculty Office and the school sub-units.	Document D(v), "Letter to interviewee re: self-assessment interview" 27/11/00 indicates that each interviewee scheduled will produce a self-assessment with the project manager. Document D(vii), "Head of School self-assessment review feedback form" 23/3/01 records one of the above scheduled self-assessments. Documents D(xi) 19/1101, D(xii) 27/11/01and D(xiii) 27/11/01, "EFQM School Review meeting and Action Plan" record the initial self-assessment reviews for each of the three schools. Documents D(xiv)	Three rounds of self-assessment were carried out in November 2001, May 2002 and November 2002.

						14/5/02, D(xv) 7/5/02 and D(xvi) 21/5/02, "EFQM 2nd School review meeting" record the 2nd self-assessment reviews for each of the three schools. Document D(xx) 12/11/02, "EFQM 3rd school review meeting" records the 3rd self-assessment review for one of the schools.	

5.5 Which of the following has the model actually been used for and how often? (A list of possible uses derived from the literature review was provided for the interviewee to select from along with an *'other'* option).	• Implementation and Evaluation Phase • Integration • Actual uses of the EFQM Model	Self-assessment framework (3). Strategic tool, for business planning (2). To provide a holistic, broader view of the business. To motivate staff to get involved in quality improvement activities. Other. The EFQM Model was used to restructure one school, which now has more of a strategic focus.	Self-assessment framework. Strategic tool (linked with the business plan). Performance Management tool (to develop key performance indicators). Benchmarking tool (sharing of internal good practice). To motivate staff to get involved in quality improvement activities (to some extent). Other. The EFQM Model was used in a contract bidding process, as it had been specified by the customer.	Self-assessment framework. Strategic tool. To provide a holistic, broader view of the business. A means of integrating other quality and management initiatives and tools (to a small extent). To motivate staff to get involved in quality improvement activities. (To a small extent).	Self-assessment framework (2). Strategic tool (as an input into business planning) (2). A means of integrating other quality and management initiatives and tools (has fed into school review and institutional audit). To motivate staff to get involved in quality improvement activities. (To a small extent). Other: Some increased status with external bodies. Some increased status internally within the University.	Document D(xvii), "School Management Team Strategic Planning Morning" 3/7/02 is the agenda for a meeting in one of the schools in which the outcomes of the EFQM self-assessment were being fed into business planning. Document D(xxii), "School presentation on Business Planning and the EFQM Model" (undated) shows how a different school were using the EFQM self-assessment in business planning.	The EFQM Model has actually been used for: Self-assessment (3). Strategic tool, for business planning (2). Performance Management tool (to develop key performance indicators). To provide a holistic, broader view of the business. To motivate staff to get involved in quality improvement activities (to a small extent). A means of integrating other quality and management initiatives and tools (has fed into school review and institutional audit). Benchmarking tool (sharing of internal good practice). The EFQM Model was used to restructure one school, which now has more of a strategic focus. The EFQM Model was used in a contract bidding process, as it had been specified by the customer.

5.6 Was the EFQM Model aligned with other organisational systems? E.g. Subject Review, Institutional Audit, Individual Performance Appraisal System, Internal Quality Reviews.	• Implementation and Evaluation Phase • Integration • Alignment with other organisational systems	One teaching contract review was based on the EFQM Model. The November 2001 self-assessment was linked to an external review in January 2002. EFQM became integrated into the cycle. The interviewee was of the opinion that self-assessment should be linked to internal school reviews and the external institutional audit.	No.	This was done tangentially. The performance reviews of the HoS and the Associate Deans were linked with the EFQM Model. The EFQM model was used in strategic planning. There was a link with the annual monitoring of taught programmes.	The EFQM Excellence Model had been linked to Internal Quality Reviews and Institutional Audit but wasn't fully aligned with these.		The EFQM Model was aligned with other organisational systems. The EFQM Excellence Model had been linked to Internal Quality Reviews and Institutional Audit but wasn't fully aligned with these. One teaching contract review was based on the EFQM Model. The November 2001 self-assessment was linked to an external review in January 2002. EFQM became integrated into the cycle. The performance reviews of the HoS and the Associate Deans were linked with the EFQM Model. The EFQM model was used in strategic planning. There was a link with the annual monitoring of taught programmes.

6 GENERAL							
6.1 Has anything else that we haven't already discussed helped in the EFQM implementation?		The culture of the Faculty valued systems for quality.	The project manager was the *"right person"*. There was some existing understanding of the EFQM Model in the Faculty. One school already had Investors in People. One school was *"in dire need of something"* (to help it to improve). The EFQM Model provided a vehicle for this.	The acceptance that the University didn't already have an "overarching" model for quality. There was no *"pressure"* to use the model from the outside funders. The drive to use the model was an internal one.	In the interviewee's own school the move to 7 school sub-units from 2 made the use of it more manageable as there were now less staff in each sub-unit.		Other factors that helped in the EFQM implementation were: The culture of the Faculty valued systems for quality. The project manager was the *"right person"*. There was some existing understanding of the EFQM Model in the Faculty. One school already had Investors in People. The acceptance that the University didn't already have an "overarching" model for quality. There was no *"pressure"* to use the model from the outside funders. The drive to use the model was an internal one.

6.2 Has anything else that we haven't already discussed hindered the EFQM implementation?		The EFQM Model was not embraced by the University as a whole. This made it difficult to influence university-wide processes. Some staff viewed it as a *"five minute wonder"* because the university as a whole was not committed to it.	The biggest hindrance was each school *"doing their own thing"*. The Faculty Office should have self-assessed from the start.	People asking *"why do we need to do this?"* Lack of external pressures to use the EFQM Model. Lack of support from senior levels of the University. The EFQM Model is not yet fully integrated on a day to day basis.	No.		Other factors that hindered the EFQM implementation were: The EFQM Model was not embraced by the University as a whole. This made it difficult to influence university-wide processes. Some staff viewed it as a *"five minute wonder"* because the university as a whole was not committed to it. Lack of external pressures to use the EFQM Model. The Faculty Office should have self-assessed from the start. Each school *"doing their own thing"*. People asking *"why do we need to do this?"* The EFQM Model is not yet fully integrated on a day to day basis (view of the Dean).

6.3 How were these hindrances overcome?		The Faculty learned to work within the constraints. The Faculty tried to influence the University where possible. Improvements were demonstrated to the University's SMT, e.g. business planning.	The first one wasn't. The second one was only partly resolved. Some self-assessment took place in the Faculty Office but there was limited progress because of terminology and methodological issues causing confusion.	Drive from within the Faculty. There was an attempt to sell the use of the EFQM Model to the rest if the University at a management retreat but without success. By focussing on the benefits gained: A better focus to what the faculty is trying to do. It helped to pull the Faculty together. The model's concepts had started to be integrated into people's thinking. A focus on Key Performance Indicators had been use to drive enablers. The Faculty was still committed to using the EFQM Model.	Not applicable.		These hindrances were overcome by: Drive from within the Faculty. The Faculty tried to influence the University where possible. Improvements were demonstrated to the University's SMT, e.g. business planning. By focussing on the benefits gained: A better focus to what the faculty is trying to do. It helped to pull the Faculty together. The model's concepts had started to be integrated into people's thinking. A focus on Key Performance Indicators had been used to drive enablers. The Faculty was still committed to using the EFQM Model.

6.4 How would you assess your level of EFQM implementation? A table used by PriceWaterhouse Coopers to assess the different levels of usage of the Excellence Model was shown to the interviewee who was asked to indicate which level they thought their organisation was at to the nearest half level. See appendix 5.		The lower half of the maturing level. The interviewee felt the Faculty were *"experienced, but there was a lot of work to do"*.	The lower half of the maturing level.	The upper half of the maturing level. The interviewee thought that the Faculty would still use the EFQM Model now that the 3 year HEFCE funded project had finished, although the view of the new Dean (in 12 months) would need to be considered. The Faculty Executive had not yet taken a firm decision to continue its use.	The upper half of the maturing level.		The level of EFQM implementation was seen as being about half way into the maturing level. The project manager felt the Faculty were *"experienced, but there was a lot of work to do"*. The Dean thought that the Faculty would still use the EFQM Model now that the 3 year HEFCE funded project had finished, although the view of the new Dean (in 12 months) would need to be considered. The Faculty Executive had not yet taken a firm decision to continue its use.

Appendix 14: Case Study 'D' Document List

Document Reference	Document Name	Date
D(i)	EFQM Assessor Training Certificate	21/9/00
D(ii)	Meeting note Dean and Project Manager	3/10/00
D(iii)	Presentation to Faculty Executive	2/11/00
D(iv)	"Schedule for Project Manager interviews with Faculty Executive members"	Early November 2000
D(v)	Letter to interviewee re: self-assessment interview	27/11/00
D(vi)	Update meeting notes-Dean and Project Manager	26/2/01
D(vii)	Head of School self-assessment review feedback form	23/3/01
D(viii)	EFQM Workshop invitation	1/5/01
D(ix)	Workshop A	16/7/01
D(x)	Workshop B	17/7/01
D(xi)	EFQM School Review meeting and Action Plan	19/11/01
D(xii)	EFQM School Review meeting and Action Plan	27/11/01
D(xiii)	EFQM School Review meeting and Action Plan	27/11/01
D(xiv)	EFQM 2nd School Review meeting	14/5/02
D(xv)	EFQM 2nd School Review meeting	7/5/02
D(xvi)	EFQM 2nd School Review meeting	21/5/02
D(xvii)	School Management Team Strategic Planning morning	3/7/02
D(xviii)	Project Board meeting	19/9/02
D(xix)	Faculty Office Workshop agenda	4/10/02
D(xx)	EFQM 3rd School Review meeting	12/11/02
D(xxi)	Project Board meeting	25/11/02
D(xxii)	School presentation, business planning and the EFQM Model	Undated
D(xxiii)	Planning document for EFQM self-assessment	Undated

Appendix 15: Links between the interview questions and the elements of the theoretical framework

Interview Section or Question	Phase or Element of the Theoretical Framework	Further Explanation (where necessary)
1. INITIAL DECISION	• Decision Phase	
1.1 When was the EFQM Excellence Model first considered?	• Pace	To find out when the implementation process started.
1.2 Were any alternatives considered?	• Decision Phase • Motive • Alternatives considered	To find out whether there was any support for any alternative models to EFQM.
1.3 When was the decision made to use the EFQM Excellence Model?	• Decision Phase • Pace	
1.3.1 Who made this decision?	• Decision Phase • Motive • Support for the decision	
1.3.2 Was this decision fully supported by the decision-making group?	• Decision Phase • Motive • Support for the decision	
1.4 What was/were the motive(s) for using the EFQM Model?	• Decision Phase • Motive	
1.5 What were the intended uses of the EFQM Excellence Model? (A list of possible uses derived from the literature review was provided for the interviewee to select from along with an '*other*' option).	• Decision Phase • Motive • Intended uses of the model	
1.6 What were the expected benefits of using the EFQM Excellence Model? (Were clear objectives set?)	• Decision Phase • Motive • Objectives and expected benefits	
1.7 What were the expected timescales in which the benefits would be accrued?	• Decision Phase • Motive • Objectives and expected benefits	To find out whether a long or short-term view was being taken on the implementation. *Short-termism* had been identified as an issue in the literature.
2. GAINING SENIOR MANAGEMENT COMMITMENT (SMC)	• Preparation Phase • Gaining Senior Management Commitment	
2.1 Which actions were taken to gain senior management commitment?	• Preparation Phase • Gaining Senior Management Commitment	
2.2 When were these actions taken?	• Preparation Phase • Gaining Senior Management Commitment • Pace	To assess the time between the initial decision to use the model (1.3 above) and taking actions to secure senior management commitment.
2.3 Who did this?	• Preparation Phase • Gaining Senior Management Commitment	To find out who was involved in helping to gain senior management commitment.
2.4 To what extent do you think senior management commitment was gained? A Likert Scale was provided which ranged from 1 *None* to 7 *Full.*	• Preparation Phase • Gaining Senior Management Commitment	To get an indication of the perceived level of SMC at the start of the implementation process.
3. PREPARATION	• Preparation Phase	
3.1 Were any **change models** considered for use during the implementation? (e.g. force field analysis) Yes/No	• Preparation Phase • Planning • Resistance to Change	To find out if the issue of resistance to change had been approached in a structured way or at all.

3.1.1 If so, how were they used and when?	• Preparation Phase • Planning • Resistance to Change • Pace	To see how resistance to change had been addressed and to see when in the process of implementation this had happened.
3.1.2 If so why were they used?	• Preparation Phase • Planning • Resistance to Change	To find out the reasons why change models were used.
3.2 Were the motive and objectives in using the EFQM Excellence Model communicated to staff? Yes/No	• Preparation Phase • Planning • Communication • Resistance to Change	To find out if staff had been told about the reasons for using the EFQM Excellence Model. This was recommended in the literature as a way of reducing resistance to change.
3.2.1 If so, how and when?	• Preparation Phase • Planning • Communication • Pace	To find out the mechanism used for communication and when in the sequence of activities this took place.
3.3 Culture/Context	• Preparation Phase • Planning • Culture/context assessment	
3.3.1 Was there an attempt to assess the organisational culture? Yes/No.	• Preparation Phase • Planning • Culture/context assessment	
3.3.2 If so, how and when?	• Preparation Phase • Planning • Culture/context assessment • Pace	To find out how culture assessment had been approached and when in the sequence of activities this took place.
3.3.3 Were any of the following aspects of culture/context taken into consideration in the preparation?	• Preparation Phase • Planning • Culture/context assessment	To find out which issues were considered and to get the interviewee's perception of each of the issues in their own case study.
3.3.3.1 Management Style? Yes/No.	• Preparation Phase • Planning • Culture/context assessment	
If yes, which issues were considered?	• Preparation Phase • Planning • Culture/context assessment	
How would you assess the management style? A seven point Likert scale was provided ranging from 1 *Collegial* to 7 *Managerial.*	• Preparation Phase • Planning • Culture/context assessment	
3.3.3.2 Individualism of academic staff? Yes/No.	• Preparation Phase • Planning • Culture/context assessment	
If yes, which issues were considered?	• Preparation Phase • Planning • Culture/context assessment	
How would you assess the level of academic staff individualism? A seven point Likert scale was provided ranging from 1 *Individual* to 7 *Teamworking.*	• Preparation Phase • Planning • Culture/context assessment	
3.3.3.3 Professional nature of academic staff? Yes/No.	• Preparation Phase • Planning • Culture/context assessment	
If yes, which issues were considered?	• Preparation Phase • Planning • Culture/context assessment	

To what extent do you think that the academic staff see themselves as professionals? A seven point Likert scale was provided ranging from 1 *Low* to 7 *High.*	• Preparation Phase • Planning • Culture/context assessment	
3.3.3.4 Academic Freedom/critical nature of academic staff? Yes/No.	• Preparation Phase • Planning • Culture/context assessment	
If yes, which issues were considered?	• Preparation Phase • Planning • Culture/context assessment	
How much academic freedom and criticality do you think the academic staff exercise? A seven point Likert scale was provided ranging from 1 *Low* to 7 *High.*	• Preparation Phase • Planning • Culture/context assessment	
3.3.3.5 Recognition/Rewards for involvement in EFQM implementation? Yes/No/Not considered.	• Preparation Phase • Planning • Culture/context assessment	
If yes, why and which forms of recognition/rewards were planned?	• Preparation Phase • Planning • Culture/context assessment	
If no, why not?	• Preparation Phase • Planning • Culture/context assessment	
3.3.3.6 Language/Terminology used in the EFQM Excellence Model. Was it tailored to suit the culture/context? Yes/No/Not considered.	• Preparation Phase • Planning • Culture/context assessment	
If yes, why and what changes were made?	• Preparation Phase • Planning • Culture/context assessment	
If no, why not?	• Preparation Phase • Planning • Culture/context assessment	
3.3.3.7 Department/School/Faculty culture of support. Yes/No.	• Preparation Phase • Planning • Culture/context assessment	
If yes, which issues were considered?	• Preparation Phase • Planning • Culture/context assessment	
Which of the points on this scale best describes the culture of support in your Departmen/School/Faculty? A seven point Likert scale was provided ranging from 1 *blame/fear* or *unsupportive/uncooperative* to 7 *supportive/cooperative.*	• Preparation Phase • Planning • Culture/context assessment	
3.4 Issues specific to the use of the EFQM Excellence Model	• Preparation Phase • Planning • EFQM Model specific choices	To see which choices had been made and why.
3.4.1 Which approach to self-assessment was chosen? A list of possible approaches was provided derived from the literature review.	• Preparation Phase • Planning • EFQM Model specific choices	
Why was this approach chosen?	• Preparation Phase • Planning • EFQM Model specific choices	
3.4.2 Was a decision taken on whether to use scoring as part of the self-assessment process? Yes/No/Not considered.	• Preparation Phase • Planning • EFQM Model specific choices	
If yes, why?	• Preparation Phase • Planning • EFQM Model specific choices	

What were the intended uses of the scores?	• Preparation Phase • Planning • EFQM Model specific choices	
If no, why not?	• Preparation Phase • Planning • EFQM Model specific choices	
3.4.3 Was a decision taken on whether to amend the criterion weightings given in the model? Yes/No/Not considered.	• Preparation Phase • Planning • EFQM Model specific choices	
If yes, why and what were they changed to?	• Preparation Phase • Planning • EFQM Model specific choices	
If no, why were they used as in the model?	• Preparation Phase • Planning • EFQM Model specific choices	
3.4.4 Was a decision made to use RADAR logic in the implementation? Yes/No/Not considered.	• Preparation Phase • Planning • EFQM Model specific choices	
If yes, why and how?	• Preparation Phase • Planning • EFQM Model specific choices	
If no, why not?	• Preparation Phase • Planning • EFQM Model specific choices	
3.5 Demonstrating Senior Management Commitment	• Preparation Phase • Planning • Demonstrating SMC	
What actions were planned in order to demonstrate SMC to the implementation?	• Preparation Phase • Planning • Demonstrating SMC	
Why were these approaches chosen?	• Preparation Phase • Planning • Demonstrating SMC	
3.6 Project Management	• Preparation Phase • Planning • Project Management	
3.6.1 Was a Steering Committee set up? Yes/No.	• Preparation Phase • Planning • Project Management	
If yes, why, when and who was involved?	• Preparation Phase • Planning • Project Management • Pace	To find out when this took place in the sequence of activities.
3.6.2 Was a Project Manager appointed? Yes/No.	• Preparation Phase • Planning • Project Management	
If yes, when?	• Preparation Phase • Planning • Project Management	To find out when this took place in the sequence of activities.
Did the Project Manager have previous knowledge of or experience with the EFQM Excellence Model?	• Preparation Phase • Planning • Project Management	
Did the Project Manager have previous project management experience?	• Preparation Phase • Planning • Project Management	
What training did the Project Manager receive and when?	• Preparation Phase • Planning • Project Management • Pace	To find out when this took place in the sequence of activities.
3.6.3 Was a project plan constructed? Yes/No.	• Preparation Phase • Planning • Project Management	

Was the pace of implementation considered in the planning, if so how?	• Preparation Phase • Planning • Project Management • Pace	
Who was involved in constructing the project plan?	• Preparation Phase • Planning • Project Management	To check on the involvement of management.
Was the implementation piloted and then rolled out or done across the case study organisation?	• Preparation Phase • Planning • Project Management	
Why was this approach chosen?	• Preparation Phase • Planning • Project Management	
Which other major initiatives/projects were taking place at the same time as the EFQM Excellence Model implementation?	• Preparation Phase • Planning • Project Management	
3.6.4 How was progress of the project monitored and by whom?	• Preparation Phase • Planning • Project Management • Momentum	To check on the involvement of management. To see if project monitoring was being used to keep up the momentum of the implementation.
3.6.5 What resources were allocated to the project and when?	• Preparation Phase • Planning • Project Management	To find out when this took place in the sequence of activities.
3.7 Education and Training	• Preparation Phase • Planning • Education and Training	
What education and training was planned to be carried out to support the implementation?	• Preparation Phase • Planning • Education and Training	
Why?	• Preparation Phase • Planning • Education and Training	
Who for?	• Preparation Phase • Planning • Education and Training	
When?	• Preparation Phase • Planning • Education and Training • Pace	To find out when this took place in the sequence of activities.
Who by?	• Preparation Phase • Planning • Education and Training	
Was an external consultant used? Yes/No.	• Preparation Phase • Planning • Education and Training	
What was the reason for this choice?	• Preparation Phase • Planning • Education and Training	
3.8 Communication	• Preparation Phase • Planning • Communication	
What communication was planned about the implementation?	• Preparation Phase • Planning • Communication	
Why?	• Preparation Phase • Planning • Communication	
When?	• Preparation Phase • Planning • Communication • Pace	To find out when this took place in the sequence of activities.

3.9 Planned involvement in the implementation process and use of the EFQM Excellence Model.	• Preparation Phase • Planning • Staff Involvement and Teamwork	
Who?	• Preparation Phase • Planning • Staff Involvement and Teamwork	To check on the extent of planned involvement.
Why?	• Preparation Phase • Planning • Staff Involvement and Teamwork	
How?	• Preparation Phase • Planning • Staff Involvement and Teamwork	
Was the use of teams considered? Yes/No.	• Preparation Phase • Planning • Staff Involvement and Teamwork	
If yes, why were teams used and how were they deployed?	• Preparation Phase • Planning Staff Involvement and Teamwork	
If no, why weren't teams used?	• Preparation Phase • Planning • Staff Involvement and Teamwork	
4. MOMENTUM	• Implementation and Evaluation Phase • Momentum	
4.1 Improvement Planning, Action and Review after self-assessment	• Implementation and Evaluation Phase • Momentum • Improvement Planning, Action and Review	
When was this carried out?	• Implementation and Evaluation Phase • Momentum • Improvement Planning, Action and Review • Pace	To find out when this took place in the sequence of activities.
Who by?	• Implementation and Evaluation Phase • Momentum • Improvement Planning, Action and Review	To check on the involvement of management.
How was this carried out?	• Implementation and Evaluation Phase • Momentum • Improvement Planning, Action and Review	
Why was it done in this way?	• Implementation and Evaluation Phase • Momentum • Improvement Planning, Action and Review	
Was there any particular emphasis? E.g. quick wins, impact.	• Implementation and Evaluation Phase • Momentum • Improvement Planning, Action and Review	
4.2 Did the implementation progress on schedule? Yes/No.	• Implementation and Evaluation Phase • Momentum • Pace	
If not, why not?	• Implementation and Evaluation Phase • Momentum • Pace	To identify barriers to implementation.

How was momentum regained?	• Implementation and Evaluation Phase • Momentum • Pace	To identify how any barriers were overcome.
What communication took place to inform staff about progress with the implementation?	• Implementation and Evaluation Phase • Momentum • Communication	
4.3 Were the expected benefits of using the Excellence Model achieved? Yes/No.	• Implementation and Evaluation Phase • Momentum • Evaluation of benefits	To see if an evaluation of benefits had occurred.
If not, what were the major barriers to achieving these benefits?	• Implementation and Evaluation Phase • Momentum	To identify barriers to implementation.
4.4 Do you think the pace of implementation was: too slow, too quick, about right?	• Implementation and Evaluation Phase • Momentum • Pace	
Why do you think this?	• Implementation and Evaluation Phase • Momentum • Pace	
4.5 Was senior management commitment maintained throughout the implementation? Yes/No	• Implementation and Evaluation Phase • Momentum • Demonstrating SMC	
How was senior management commitment demonstrated during the implementation?	• Implementation and Evaluation Phase • Momentum • Demonstrating SMC	
What helped to maintain senior management commitment?	• Implementation and Evaluation Phase • Momentum • Demonstrating SMC	
If senior management commitment was not maintained what affected it?	• Implementation and Evaluation Phase • Momentum • Demonstrating SMC	
Were there any changes in senior management during the course of the implementation? Yes/No	• Implementation and Evaluation Phase • Momentum • Demonstrating SMC	
If so, which positions and when?	• Implementation and Evaluation Phase • Momentum • Demonstrating SMC	To find out when this took place in the sequence of activities. To see the extent of any changes in senior management.
To what extent do you think senior management commitment was demonstrated during the implementation? A Likert scale was provided from 1 *None* to 7 *Full.*	• Implementation and Evaluation Phase • Momentum • Demonstrating SMC	To get an indication of the perceived level of SMC during the implementation process. To compare this with perceived levels at the start of the implementation.
4.6 Was the planned level of resources maintained during the implementation? Yes/No	• Implementation and Evaluation Phase • Momentum • Project Management	
If not, what affected this?	• Implementation and Evaluation Phase • Momentum • Project Management	

If yes, was the level of resources sufficient?	• Implementation and Evaluation Phase • Momentum • Project Management	
4.7 Was the planned staff training carried out?	• Implementation and Evaluation Phase • Momentum • Education and Training	
If not, why not?	• Implementation and Evaluation Phase • Momentum • Education and Training	
What effect did this have on the implementation?	• Implementation and Evaluation Phase • Momentum • Education and Training	
4.8 Was there any recognition of or rewards for staff involved in EFQM implementation?	• Implementation and Evaluation Phase • Momentum • Recognition and Rewards	
5. INTEGRATION	• Implementation and Evaluation Phase • Integration	
5.1 How many organisational levels was the EFQM Excellence Model implemented in?	• Implementation and Evaluation Phase • Integration • Multi-level use in the organisation	
5.2 How was RADAR logic used in the implementation?	• Implementation and Evaluation Phase • Integration • Actual uses of the EFQM Model	
5.3 Was the planned level of staff involvement with the EFQM Excellence Model achieved?	• Implementation and Evaluation Phase • Integration • Staff Involvement and Teamwork	
If not, why not?	• Implementation and Evaluation Phase • Integration • Staff Involvement and Teamwork	
5.4 How many rounds of self-assessment have been carried out and when?	• Implementation and Evaluation Phase • Integration • Actual uses of the EFQM Model • Pace	To find out when this took place in the sequence of activities.
5.5 Which of the following has the model actually been used for and how often? (A list of possible uses derived from the literature review was provided for the interviewee to select from along with an *'other'* option).	• Implementation and Evaluation Phase • Integration • Actual uses of the EFQM Model	
5.6 Was the EFQM Model aligned with other organisational systems? E.g. Subject Review, Institutional Audit, Individual Performance Appraisal System, Internal Quality Reviews.	• Implementation and Evaluation Phase • Integration • Alignment with other organisational systems	
6 GENERAL		
6.1 Has anything else that we haven't already discussed helped in the EFQM implementation?		To offer the interviewee the opportunity to add any other relevant views.
6.2 Has anything else that we haven't already discussed hindered the EFQM implementation?		To offer the interviewee the opportunity to add any other relevant views.
6.3 How were these hindrances overcome?		To offer the interviewee the opportunity to add any other relevant views.

6.4 How would you assess your level of EFQM implementation? A table used by PriceWaterhouseCoopers to assess the different levels of usage of the Excellence Model was shown to the interviewee who was asked to indicate which level they thought their organisation was at to the nearest half level. See appendix 5.		To gather the interviewee's view on the level of EFQM implementation. This then could be used to corroborate the initial view of the Project Manager when the author was selecting the cases.

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